

**U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing**

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# **PHA Plans**

5 Year Plan for Fiscal Years 2000 - 2004  
Annual Plan for Fiscal Year 2000

**NOTE: THIS PHA PLANS TEMPLATE (HUD 50075) IS TO BE COMPLETED IN ACCORDANCE WITH  
INSTRUCTIONS LOCATED IN APPLICABLE PIH NOTICES**

**PHA Plan  
Agency Identification**

**PHA Name:** Hot Springs Housing Authority

**PHA Number:** NC19P045

**PHA Fiscal Year Beginning: (mm/yyyy)** 7/2000

**Public Access to Information**

**Information regarding any activities outlined in this plan can be obtained by contacting:  
(select all that apply)**

- Main administrative office of the PHA**
- PHA development management offices**
- PHA local offices**

**Display Locations For PHA Plans and Supporting Documents**

**The PHA Plans (including attachments) are available for public inspection at: (select all that apply)**

- Main administrative office of the PHA**
- PHA development management offices**
- PHA local offices**
- Main administrative office of the local government**
- Main administrative office of the County government**
- Main administrative office of the State government**
- Public library**
- PHA website**
- Other (list below)**

**PHA Plan Supporting Documents are available for inspection at: (select all that apply)**

- Main business office of the PHA**
- PHA development management offices**
- Other (list below)**

**5-YEAR PLAN**  
**PHA FISCAL YEARS 2000 - 2004**  
[24 CFR Part 903.5]

**A. Mission**

State the PHA's mission for serving the needs of low-income, very low income, and extremely low-income families in the PHA's jurisdiction (select one of the choices below).

**The mission of the PHA is the same as that of the Department of Housing and Urban Development: To promote adequate and affordable housing, economic opportunity and a suitable living environment free from discrimination.**

**X The PHA's mission is: (state mission here)**

**The aim of the Housing Authority is to ensure safe, decent, and affordable housing; encouraging higher quality family life for eligible residents, create opportunities for resident economic self-sufficiency, establish a drug and crime free environment, assure fiscal integrity in all programs administered without discrimination.**

**B. Goals**

The goals and objectives listed below are derived from HUD's strategic Goals and Objectives and those emphasized in recent legislation. PHAs may select any of these goals and objectives as their own, or identify other goals and/or objectives. Whether selecting the HUD-suggested objectives or their own, PHAs ARE STRONGLY ENCOURAGED TO IDENTIFY QUANTIFIABLE MEASURES OF SUCCESS IN REACHING THESE OBJECTIVES OVER THE COURSE OF THE PHA FISCAL YEARS. (Quantifiable measures would include such as: numbers of families served or PHAS scores achieved.) PHAs should

- Apply for additional rental vouchers:**
- X Reduce public housing vacancies: reduction of 10%**
- Leverage private or other public funds to create additional housing opportunities:**
- Acquire or build units or developments**
- Other (list below)**

**PHA Goal: Improve the quality of assisted housing**

**Objectives:**

- X Improve public housing management: (PHAS score)**
- Improve voucher management: (SEMAP score)**
- X Increase customer satisfaction:**
- X Concentrate on efforts to improve specific management functions:**  
**(list; e.g., public housing finance; voucher unit inspections)**
- X Renovate or modernize public housing units: interiors of 26 apartments.**
- Demolish or dispose of obsolete public housing:**
- Provide replacement public housing:**

\_\_\_ Provide replacement vouchers:

\_\_\_ Other: (list below)

**PHA Goal: Increase assisted housing choices**

**Objectives:**

\_\_\_ Provide voucher mobility counseling:

\_\_\_ Conduct outreach efforts to potential voucher landlords

\_\_\_ Increase voucher payment standards

\_\_\_ Implement voucher homeownership program:

X Implement public housing or other homeownership programs:

\_\_\_ Implement public housing site-based waiting lists:

\_\_\_ Convert public housing to vouchers:

X Other: (list below)

Work with County Section 8 agency to increase housing choices

**HUD Strategic Goal: Improve community quality of life and economic vitality**

**PHA Goal: Provide an improved living environment**

**Objectives:**

X Implement measures to deconcentrate poverty by bringing higher income public housing households into lower income developments:

X Implement measures to promote income mixing in public housing by assuring access for lower income families into higher income developments:

X Implement public housing security improvements:

\_\_\_ Designate developments or buildings for particular resident groups (elderly, persons with disabilities)

\_\_\_ Other: (list below)

**HUD Strategic Goal: Promote self-sufficiency and asset development of families and individuals**

**PHA Goal: Promote self-sufficiency and asset development of assisted**

**Objectives:**

X Increase the number and percentage of employed persons in assisted families: Increase of 5% desired

X Provide or attract supportive services to improve assistance recipients' employability: Work with local social services agencies

- X Provide or attract supportive services to increase independence for the elderly or families with disabilities.
- \_\_\_ Other: (list below)

**HUD Strategic Goal: Ensure Equal Opportunity in Housing for all Americans**

**PHA Goal: Ensure equal opportunity and affirmatively further fair housing  
Objectives:**

- X Undertake affirmative measures to ensure access to assisted housing regardless of race, color, religion national origin, sex, familial status, and disability:
- X Undertake affirmative measures to provide a suitable living environment for families living in assisted housing, regardless of race, color, religion national origin, sex, familial status, and disability:
- X Undertake affirmative measures to ensure accessible housing to persons with all varieties of disabilities regardless of unit size required:
- \_\_\_ Other: (list below)

**Other PHA Goals and Objectives: (list below)**

**Annual PHA Plan**  
**PHA Fiscal Year 2000**  
[24 CFR Part 903.7]

**Annual Plan Type:**

Select which type of Annual Plan the PHA will submit.

**Standard Plan**

**Streamlined Plan:**

**High Performing PHA**

**Small Agency (<250 Public Housing Units)**

**Administering Section 8 Only**

**Troubled Agency Plan**

**Executive Summary of the Annual PHA Plan**

[24 CFR Part 903.7 9 (r)]

Provide a brief overview of the information in the Annual Plan, including highlights of major initiatives and discretionary policies the PHA has included in the Annual Plan.

# **Annual Plan Table of Contents**

[24 CFR Part 903.79 (r)]

Provide a table of contents for the Annual Plan, including attachments, and a list of supporting documents available for public inspection.

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### **Attachments**

Indicate which attachments are provided by selecting all that apply. Provide the attachment's name (A, B, etc.) in the space to the left of the name of the attachment. Note: If the attachment is provided as a SEPARATE file submission from the PHA Plans file, provide the file name in parentheses in the space to the right of the title.

**Required Attachments:**  
X Admissions Policy for Deconcentration  
X FY 2000 Capital Fund Program Annual Statement  
\_\_\_\_ Most recent board-approved operating budget (Required Attachment for PHAs that are troubled or at risk of being designated troubled ONLY)

### **Optional Attachments:**

\_\_\_\_ PHA Management Organizational Chart

- X **FY 2000 Capital Fund Program 5 Year Action Plan**
- \_\_\_ **Public Housing Drug Elimination Program (PHDEP) Plan**
- \_\_\_ **Comments of Resident Advisory Board or Boards (must be attached if not included in PHA Plan text)**
- \_\_\_ **Other (List below, providing each attachment name)**

**Supporting Documents Available for Review**

Indicate which documents are available for public review by placing a mark in the "Applicable & On Display" column in the appropriate rows. All listed documents must be on display if applicable to the program activities conducted by the PHA.

Applicable & On Display	Supporting Document	Applicable Plan Component
X	PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations	5 Year and Annual Plans
X	State/Local Government Certification of Consistency with the Consolidated Plan	5 Year and Annual Plans
X	Fair Housing Documentation: Records reflecting that the PHA has examined its programs or proposed programs, identified any impediments to fair housing choice in those programs, addressed or is addressing those impediments in a reasonable fashion in view of the resources available, and worked or is working with local jurisdictions to implement any of the jurisdictions' initiatives to affirmatively further fair housing that require the PHA's involvement.	5 Year and Annual Plans
X	Consolidated Plan for the jurisdiction/s in which the PHA is located (which includes the Analysis of Impediments to Fair Housing Choice (AI)) and any additional backup data to support statement of housing needs in the jurisdiction	Annual Plan: Housing Needs
X	Most recent board-approved operating budget for the public housing program	Annual Plan: Financial Resources;
X	Public Housing Admissions and (Continued) Occupancy Policy (A&O), which includes the Tenant Selection and Assignment Plan [TSAP]	Annual Plan: Eligibility, Selection, and Admissions Policies
	Section 8 Administrative Plan	Annual Plan: Eligibility, Selection, and Admissions Policies
X	Public Housing Deconcentration and Income Mixing Documentation: PHA board certifications of compliance with deconcentration requirements (section 16(a) of the US Housing Act of 1937, as implemented in the 2/18/99 Quality Housing and Work Responsibility Act Initial Guidance;	Annual Plan: Eligibility, Selection, and Admissions Policies

Applicable & On Display	Supporting Document	Applicable Plan Component
	<i>Notice</i> and any further HUD guidance) and <b>18. Documentation of the required deconcentration and income mixing analysis</b>	
<b>X</b>	<b>Public housing rent determination policies, including the methodology for setting public housing flat rents check here if included in the public housing A &amp; O Policy</b>	<b>Annual Plan: Rent Determination</b>
<b>X</b>	<b>Schedule of flat rents offered at each public housing development check here if included in the public housing A &amp; O Policy</b>	<b>Annual Plan: Rent Determination</b>
	<b>Section 8 rent determination (payment standard) policies check here if included in Section 8 Administrative Plan</b>	<b>Annual Plan: Rent Determination</b>
<b>X</b>	<b>Public housing management and maintenance policy documents, including policies for the prevention or eradication of pest infestation (including cockroach infestation)</b>	<b>Annual Plan: Operations and Maintenance</b>
<b>X</b>	<b>Public housing grievance procedures check here if included in the public housing A &amp; O Policy</b>	<b>Annual Plan: Grievance Procedures</b>
	<b>Section 8 informal review and hearing procedures check here if included in Section 8 Administrative Plan</b>	<b>Annual Plan: Grievance Procedures</b>
<b>X</b>	<b>The HUD-approved Capital Fund/Comprehensive Grant Program Annual Statement (HUD 52837) for the active grant year</b>	<b>Annual Plan: Capital Needs</b>
<b>X</b>	<b>Most recent CIAP Budget/Progress Report (HUD 52825) for any active CIAP grant</b>	<b>Annual Plan: Capital Needs</b>
<b>X</b>	<b>Most recent, approved 5 Year Action Plan for the Capital Fund/Comprehensive Grant Program, if not included as an attachment (provided at PHA option)</b>	<b>Annual Plan: Capital Needs</b>
	<b>Approved HOPE VI applications or, if more recent, approved or submitted HOPE VI Revitalization Plans or any other approved proposal for development of public housing</b>	<b>Annual Plan: Capital Needs</b>
	<b>Approved or submitted applications for demolition and/or disposition of public housing</b>	<b>Annual Plan: Demolition and Disposition</b>
	<b>Approved or submitted applications for designation of public housing (Designated Housing Plans)</b>	<b>Annual Plan: Designation of Public Housing</b>
	<b>Approved or submitted assessments of reasonable revitalization of public housing and approved or submitted conversion plans prepared pursuant to section 202 of the 1996 HUD Appropriations Act</b>	<b>Annual Plan: Conversion of Public Housing</b>
	<b>Approved or submitted public housing homeownership programs/plans</b>	<b>Annual Plan: Homeownership</b>

Applicable & On Display	Supporting Document	Applicable Plan Component
	Policies governing any Section 8 Homeownership program check here if included in the Section 8 Administrative Plan	Annual Plan: Homeownership
	Any cooperative agreement between the PHA and the TANF agency	Annual Plan: Community Service & Self-Sufficiency
	FSS Action Plan/s for public housing and/or Section 8	Annual Plan: Community Service & Self-Sufficiency
	Most recent self-sufficiency (ED/SS, TOP or ROSS or other resident services grant) grant program reports	Annual Plan: Community Service & Self-Sufficiency
	The most recent Public Housing Drug Elimination Program (PHDEP) semi-annual performance report for any open grant and most recently submitted PHDEP application (PHDEP Plan)	Annual Plan: Safety and Crime Prevention
X	The most recent fiscal year audit of the PHA conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h)), the results of that audit and the PHA's response to any findings	Annual Plan: Annual Audit
	Troubled PHAs: MOA/Recovery Plan	Troubled PHAs
	Other supporting documents (optional) (list individually; use as many lines as necessary)	(specify as needed)

## 1. Statement of Housing Needs

[24 CFR Part 903.79 (a)]

### A. Housing Needs of Families in the Jurisdiction/s Served by the PHA

Based upon the information contained in the Consolidated Plan/s applicable to the jurisdiction, and/or other data available to the PHA, provide a statement of the housing needs in the jurisdiction by completing the following table. In the "Overall Needs" column, provide the estimated number of renter families that have housing needs. For the remaining characteristics, rate the impact of that

Family Type	Overall Needs	Severe Impact	Some Impact	No Impact	Other	Other	Other
Income <= 30% of AMI	20	3	4	3	3	3	3
Income >30% but <=50% of AMI	16	3	4	3	3	3	3
Income >50% but <80% of AMI	3	3	4	3	3	3	3
Elderly	6	3	4	3	3	3	3

Family Type	Overall	Affordability	Supply	Quality	Accessibility	2. Size	Location
Families with Disabilities	1	3	4	3	3	3	3
Race/Ethnicity	3	3	4	3	3	3	3
Race/Ethnicity	1	3	4	3	3	3	3
Race/Ethnicity							
Race/Ethnicity							

What sources of information did the PHA use to conduct this analysis? (Check all that apply; all materials must be made available for public inspection.)

- Consolidated Plan of the Jurisdiction/s  
Indicate year: 1998/9
- U.S. Census data: the Comprehensive Housing Affordability Strategy (“CHAS”) dataset
- American Housing Survey data  
Indicate year: \_\_\_\_\_
- Other housing market study  
Indicate year: \_\_\_\_\_
- Other sources: (list and indicate year of information)

**A. Housing Needs of Families on the Public Housing and Section 8 Tenant- Based Assistance Waiting Lists**

State the housing needs of the families on the PHA’s waiting list/s. Complete one table for each type of PHA-wide waiting list administered by the PHA. PHAs may provide separate tables for site-based or sub-jurisdictional public housing waiting lists at their option.

Housing Needs of Families on the Waiting List			
Waiting list type: (select one)			
<input type="checkbox"/> Section 8 tenant-based assistance			
<input checked="" type="checkbox"/> Public Housing			
<input type="checkbox"/> Combined Section 8 and Public Housing			
<input type="checkbox"/> Public Housing Site-Based or sub-jurisdictional waiting list (optional)			
If used, identify which development/subjurisdiction:			
	# of families	% of total families	Annual Turnover
Waiting list total	0		
Extremely low income <=30% AMI	0	0	

<b>Very low income (&gt;30% but &lt;=50% AMI)</b>	<b>0</b>	<b>0</b>	
<b>Low income (&gt;50% but &lt;80% AMI)</b>	<b>0</b>	<b>0</b>	
<b>Families with children</b>	<b>0</b>	<b>0</b>	
<b>Elderly families</b>	<b>0</b>	<b>0</b>	
<b>Families with Disabilities</b>	<b>0</b>	<b>0</b>	
<b>Race/ethnicity</b>	<b>0</b>	<b>6</b>	
<b>Race/ethnicity</b>			
<b>Race/ethnicity</b>			
<b>Race/ethnicity</b>			
<b>Characteristics by Bedroom Size (Public Housing Only)</b>			
<b>1BR</b>	<b>0</b>	<b>0</b>	
<b>2 BR</b>	<b>0</b>	<b>0</b>	
<b>3 BR</b>	<b>0</b>	<b>0</b>	
<b>4 BR</b>	<b>0</b>	<b>0</b>	
<b>5 BR</b>			
<b>5+ BR</b>			
<b>Is the waiting list closed (select one)? No: <u>X</u> Yes: ___</b> <b>If yes:</b> <b>B. How long has it been closed (# of months)?</b> <b>Does the PHA expect to reopen the list in the PHA Plan year? No Yes</b> <b>Does the PHA permit specific categories of families onto the waiting list, even if generally closed? No Yes</b>			

**C. Strategy for Addressing Needs**

Provide a brief description of the PHA's strategy for addressing the housing needs of families in the jurisdiction and on the waiting list IN THE UPCOMING YEAR, and the Agency's reasons for choosing this strategy.

**(1) Strategies**  
**Need: Shortage of affordable housing for all eligible populations**

**Strategy 1. Maximize the number of affordable units available to the PHA within its current resources by:**

Select all that apply

- Employ effective maintenance and management policies to minimize the number of public housing units off-line**
- Reduce turnover time for vacated public housing units**
- Reduce time to renovate public housing units**
- Seek replacement of public housing units lost to the inventory through mixed finance development**
- Seek replacement of public housing units lost to the inventory through section 8 replacement housing resources**
- Maintain or increase section 8 lease-up rates by establishing payment standards that will enable families to rent throughout the jurisdiction**
- Undertake measures to ensure access to affordable housing among families assisted by the PHA, regardless of unit size required**
- Maintain or increase section 8 lease-up rates by marketing the program to owners, particularly those outside of areas of minority and poverty concentration**
- Maintain or increase section 8 lease-up rates by effectively screening Section 8 applicants to increase owner acceptance of program**
- Participate in the Consolidated Plan development process to ensure coordination with broader community strategies**
- Other (list below)**

**Strategy 2: Increase the number of affordable housing units by:**

Select all that apply

- Apply for additional section 8 units should they become available**
- Leverage affordable housing resources in the community through the creation of mixed-finance housing**
- Pursue housing resources other than public housing or Section 8 tenant-based assistance.**
- Other: (list below)**

**Need: Specific Family Types: Families at or below 30% of median**

**Strategy 1: Target available assistance to families at or below 30 % of AMI**

Select all that apply

- Exceed HUD federal targeting requirements for families at or below 30% of AMI in public housing**
- Exceed HUD federal targeting requirements for families at or below 30% of**

- AMI in tenant-based section 8 assistance
- Employ admissions preferences aimed at families with economic hardships
- Adopt rent policies to support and encourage work
- Other: (list below)

**Need: Specific Family Types: Families at or below 50% of median**

**Strategy 1: Target available assistance to families at or below 50% of AMI**

Select all that apply

- Employ admissions preferences aimed at families who are working
- Adopt rent policies to support and encourage work
- Other: (list below)

**B. Need: Specific Family Types: The Elderly**

**Strategy 1: Target available assistance to the elderly:**

Select all that apply

- Seek designation of public housing for the elderly
- Apply for special-purpose vouchers targeted to the elderly, should they become available
- Other: (list below)

**Need: Specific Family Types: Families with Disabilities**

**Strategy 1: Target available assistance to Families with Disabilities:**

Select all that apply

- Seek designation of public housing for families with disabilities
- Carry out the modifications needed in public housing based on the section 504 Needs Assessment for Public Housing
- Apply for special-purpose vouchers targeted to families with disabilities, should they become available
- Affirmatively market to local non-profit agencies that assist families with disabilities
- Other: (list below)

**Need: Specific Family Types: Races or ethnicities with disproportionate housing needs**

**Strategy 1: Increase awareness of PHA resources among families of races and**

**ethnicities with disproportionate needs:**

Select if applicable

- Affirmatively market to races/ethnicities shown to have disproportionate housing needs**  
 **Other: (list below)**

**Strategy 2: Conduct activities to affirmatively further fair housing**

Select all that apply

- Counsel section 8 tenants as to location of units outside of areas of poverty or minority concentration and assist them to locate those units**  
 **Market the section 8 program to owners outside of areas of poverty /minority concentrations**  
 **Other: (list below)**

**Other Housing Needs & Strategies: (list needs and strategies below)**

**(2) Reasons for Selecting Strategies**

**Of the factors listed below, select all that influenced the PHA's selection of the strategies it will pursue:**

- Funding constraints**  
 **Staffing constraints**  
 **Limited availability of sites for assisted housing**  
 **Extent to which particular housing needs are met by other organizations in the community**  
 **Evidence of housing needs as demonstrated in the Consolidated Plan and other information available to the PHA**  
 **Influence of the housing market on PHA programs**  
 **Community priorities regarding housing assistance**  
 **Results of consultation with local or state government**  
 **Results of consultation with residents and the Resident Advisory Board**  
 **Results of consultation with advocacy groups**  
 **Other: (list below)**

## 2. Statement of Financial Resources

[24 CFR Part 903.79 (b)]

List the financial resources that are anticipated to be available to the PHA for the support of Federal public housing and tenant-based Section 8 assistance programs administered by the PHA during the Plan year. Note: the table assumes that Federal public housing or tenant based Section 8 assistance grant funds are expended on eligible purposes; therefore, uses of these funds need not be stated. For

Sources	Planned \$	Planned Uses
<p>other funds, indicate the use for those funds in one of the following categories: public housing operations, public housing capital improvements, public housing safety/security, public housing</p>		
<b>1. Federal Grants (FY 2000 grants)</b>		
a) Public Housing Operating Fund	\$ 222,720	
b) Public Housing Capital Fund	\$ 102,626	
c) HOPE VI Revitalization	0	
d) HOPE VI Demolition	0	
e) Annual Contributions for Section 8 Tenant-Based Assistance	0	
f) Public Housing Drug Elimination Program (including any Technical Assistance funds)	0	
g) Resident Opportunity and Self-Sufficiency Grants	0	
h) Community Development Block Grant	0	
i) HOME	0	
Other Federal Grants (list below)		
<b>2. Prior Year Federal Grants (unobligated funds only) (list below)</b>		
1999 CIAP	\$ 102,626	
<b>3. Public Housing Dwelling Rental Income</b>	\$ 77,000	
<b>4. Other income (list below)</b>	0	
<b>4. Non-federal sources (list below)</b>	0	

<b>Sources</b>	<b>Planned \$</b>	<b>Planned Uses</b>
<b>Total resources</b>	<b>\$ 504,972</b>	

### **3. PHA Policies Governing Eligibility, Selection, and Admissions**

[24 CFR Part 903.79 (c)]

#### **A. Public Housing**

Exemptions: PHAs that do not administer public housing are not required to complete subcomponent

##### **(1) Eligibility**

**a. When does the PHA verify eligibility for admission to public housing? (select all that apply)**

When families are within a certain number of being offered a unit: (state number)

When families are within a certain time of being offered a unit: (state time)

Other: (describe) At time of taking application

**b. Which non-income (screening) factors does the PHA use to establish eligibility for admission to public housing (select all that apply)?**

Criminal or Drug-related activity

Rental history

Housekeeping

Other (describe)

**c.  Yes  No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?**

**d.  Yes  No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?**

**e.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)**

##### **(2) Waiting List Organization**

**a. Which methods does the PHA plan to use to organize its public housing waiting list (select all that apply)**

Community-wide list

Sub-jurisdictional lists

Site-based waiting lists

Other (describe)

**b. Where may interested persons apply for admission to public housing?**

PHA main administrative office

PHA development site management office

\_\_\_\_ Other (list below)

c. If the PHA plans to operate one or more site-based waiting lists in the coming year, answer each of the following questions; if not, skip to subsection (3) Assignment

1. How many site-based waiting lists will the PHA operate in the coming year?

2. \_\_\_\_ Yes \_\_\_\_ No: Are any or all of the PHA's site-based waiting lists new for the upcoming year (that is, they are not part of a previously- HUD-approved site based waiting list plan)?

If yes, how many lists?

3. \_\_\_\_ Yes \_\_\_\_ No: May families be on more than one list simultaneously

If yes, how many lists?

4. Where can interested persons obtain more information about and sign up to be on the site-based waiting lists (select all that apply)?

\_\_\_\_ PHA main administrative office

\_\_\_\_ All PHA development management offices

\_\_\_\_ Management offices at developments with site-based waiting lists

\_\_\_\_ At the development to which they would like to apply

\_\_\_\_ Other (list below)

### (3) Assignment

a. How many vacant unit choices are applicants ordinarily given before they fall to the bottom of or are removed from the waiting list? (select one)

\_\_\_\_ One

X Two

\_\_\_\_ Three or More

b. X Yes \_\_\_\_ No: Is this policy consistent across all waiting list types?

c. If answer to b is no, list variations for any other than the primary public housing waiting list/s for the PHA:

### (4) Admissions Preferences

a. Income targeting:

X Yes \_\_\_\_ No: Does the PHA plan to exceed the federal targeting requirements

by targeting more than 40% of all new admissions to public housing to families at or below 30% of median area income?

**b. Transfer policies:**

In what circumstances will transfers take precedence over new admissions? (list below)

- Emergencies
- Overhoused
- Underhoused
- Medical justification
- Administrative reasons determined by the PHA (e.g., to permit modernization work)
- Resident choice: (state circumstances below)
- Other: (list below)

**a. Preferences**

1.  Yes  No: Has the PHA established preferences for admission to public housing (other than date and time of application)? (If "no" is selected, skip to subsection (5) Occupancy)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

**Former Federal preferences:**

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

**Other preferences: (select below)**

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)

- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

**3. If the PHA will employ admissions preferences, please prioritize by placing a “1” in the space that represents your first priority, a “2” in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use “1” more than once, “2” more than once, etc.**

Date and Time

**Former Federal preferences:**

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden

**Other preferences (select all that apply)**

- Working families and those unable to work because of age or disability
- Veterans and veterans’ families
- Residents who live and/or work in the jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

**4. Relationship of preferences to income targeting requirements:**

- The PHA applies preferences within income tiers
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements

**(5) Occupancy**

**a. What reference materials can applicants and residents use to obtain information about the rules of occupancy of public housing (select all that apply)**

- The PHA-resident lease
- The PHA's Admissions and (Continued) Occupancy policy
- PHA briefing seminars or written materials
- Other source (list)

**b. How often must residents notify the PHA of changes in family composition? (select all that apply)**

- At an annual reexamination and lease renewal
- Any time family composition changes
- At family request for revision
- Other (list)

**(6) Deconcentration and Income Mixing**

**a. \_\_\_ Yes X No: Did the PHA's analysis of its family (general occupancy) developments to determine concentrations of poverty indicate the need for measures to promote deconcentration of poverty or income mixing?**

**b. \_\_\_ Yes X No: Did the PHA adopt any changes to its admissions policies based on the results of the required analysis of the need to promote deconcentration of poverty or to assure income mixing?**

**c. If the answer to b was yes, what changes were adopted? (select all that apply)**

- Adoption of site-based waiting lists
- If selected, list targeted developments below:  
 Employing waiting list "skipping" to achieve deconcentration of poverty or income mixing goals at targeted developments
- If selected, list targeted developments below:  
 Employing new admission preferences at targeted developments
- If selected, list targeted developments below:  
 Other (list policies and developments targeted below)

**d. \_\_\_ Yes X No: Did the PHA adopt any changes to other policies based on the results of the required analysis of the need for deconcentration of poverty and income mixing?**

e. If the answer to d was yes, how would you describe these changes? (select all that apply)

- Additional affirmative marketing
- Actions to improve the marketability of certain developments
- Adoption or adjustment of ceiling rents for certain developments
- Adoption of rent incentives to encourage deconcentration of poverty and income-mixing
- Other (list below)

f. Based on the results of the required analysis, in which developments will the PHA make special efforts to attract or retain higher-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

g. Based on the results of the required analysis, in which developments will the PHA make special efforts to assure access for lower-income families? (select all that apply)

- Not applicable: results of analysis did not indicate a need for such efforts
- List (any applicable) developments below:

## B. Section 8

Exemptions: PHAs that do not administer section 8 are not required to complete sub-component 3B. Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher program, certificates).

(1) Eligibility  
a. What is the extent of screening conducted by the PHA? (select all that apply)

- Criminal or drug-related activity only to the extent required by law or regulation
- Criminal and drug-related activity, more extensively than required by law or regulation
- More general screening than criminal and drug-related activity (list factors below)
- Other (list below)

b.  Yes  No: Does the PHA request criminal records from local law enforcement agencies for screening purposes?

c.  Yes  No: Does the PHA request criminal records from State law enforcement agencies for screening purposes?

d.  Yes  No: Does the PHA access FBI criminal records from the FBI for screening purposes? (either directly or through an NCIC-authorized source)

e. Indicate what kinds of information you share with prospective landlords? (select all that apply)

Criminal or drug-related activity

Other (describe below)

**(2) Waiting List Organization**

a. With which of the following program waiting lists is the section 8 tenant-based assistance waiting list merged? (select all that apply)

None

Federal public housing

Federal moderate rehabilitation

Federal project-based certificate program

Other federal or local program (list below)

b. Where may interested persons apply for admission to section 8 tenant-based assistance? (select all that apply)

PHA main administrative office

Other (list below)

**(3) Search Time**

a.  Yes  No: Does the PHA give extensions on standard 60-day period to search for a unit?

If yes, state circumstances below:

**(4) Admissions Preferences**

a. Income targeting

Yes  No: Does the PHA plan to exceed the federal targeting requirements by targeting more than 75% of all new admissions to the section 8 program to families at or below 30% of median area income?

b. Preferences

Yes  No: Has the PHA established preferences for admission to section 8

tenant-based assistance? (other than date and time of application) (if no, skip to subcomponent (5) Special purpose section 8 assistance programs)

2. Which of the following admission preferences does the PHA plan to employ in the coming year? (select all that apply from either former Federal preferences or other preferences)

**Former Federal preferences**

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)
- Victims of domestic violence
- Substandard housing
- Homelessness
- High rent burden (rent is > 50 percent of income)

**Other preferences (select all that apply)**

- Working families and those unable to work because of age or disability
- Veterans and veterans' families
- Residents who live and/or work in your jurisdiction
- Those enrolled currently in educational, training, or upward mobility programs
- Households that contribute to meeting income goals (broad range of incomes)
- Households that contribute to meeting income requirements (targeting)
- Those previously enrolled in educational, training, or upward mobility programs
- Victims of reprisals or hate crimes
- Other preference(s) (list below)

3. If the PHA will employ admissions preferences, please prioritize by placing a "1" in the space that represents your first priority, a "2" in the box representing your second priority, and so on. If you give equal weight to one or more of these choices (either through an absolute hierarchy or through a point system), place the same number next to each. That means you can use "1" more than once, "2" more than once, etc.

Date and Time

**Former Federal preferences**

- Involuntary Displacement (Disaster, Government Action, Action of Housing Owner, Inaccessibility, Property Disposition)**
- Victims of domestic violence**
- Substandard housing**
- Homelessness**
- High rent burden**

**Other preferences (select all that apply)**

- Working families and those unable to work because of age or disability**
- Veterans and veterans' families**
- Residents who live and/or work in your jurisdiction**
- Those enrolled currently in educational, training, or upward mobility programs**
- Households that contribute to meeting income goals (broad range of incomes)**
- Households that contribute to meeting income requirements (targeting)**
- Those previously enrolled in educational, training, or upward mobility programs**
- Victims of reprisals or hate crimes**
- Other preference(s) (list below)**

**4. Among applicants on the waiting list with equal preference status, how are applicants selected? (select one)**

- Date and time of application**
- Drawing (lottery) or other random choice technique**

**5. If the PHA plans to employ preferences for "residents who live and/or work in the jurisdiction" (select one)**

- This preference has previously been reviewed and approved by HUD**
- The PHA requests approval for this preference through this PHA Plan**

**6. Relationship of preferences to income targeting requirements: (select one)**

- The PHA applies preferences within income tiers**
- Not applicable: the pool of applicant families ensures that the PHA will meet income targeting requirements**

**(5) Special Purpose Section 8 Assistance Programs**

**a. In which documents or other reference materials are the policies governing eligibility, selection, and admissions to any special-purpose section 8 program administered by the PHA contained? (select all that apply)**

- The Section 8 Administrative Plan**
- Briefing sessions and written materials**
- Other (list below)**

**b. How does the PHA announce the availability of any special-purpose section 8 programs to the public?**

- Through published notices**
- Other (list below)**

#### **4. PHA Rent Determination Policies**

[24 CFR Part 903.79(d)]

##### **A. Public Housing**

Exemptions: PHAs that do not administer public housing are not required to complete sub-component

##### **(1) Income Based Rent Policies**

Describe the PHA's income based rent setting policy/ies for public housing using, including discretionary (that is, not required by statute or regulation) income disregards and exclusions, in the appropriate spaces below.

##### **a. Use of discretionary policies: (select one)**

**The PHA will not employ any discretionary rent-setting policies for income based rent in public housing. Income-based rents are set at the higher of 30% of adjusted monthly income, 10% of unadjusted monthly income, the welfare rent, or minimum rent (less HUD mandatory deductions and exclusions). (If selected, skip to sub-component (2))**

---or---

**The PHA employs discretionary policies for determining income based rent (If selected, continue to question b.)**

##### **b. Minimum Rent**

**1. What amount best reflects the PHA's minimum rent? (select one)**

- \$0  
 \$1-\$25  
 \$26-\$50

**2.  Yes  No: Has the PHA adopted any discretionary minimum rent hardship exemption policies?**

**3. If yes to question 2, list these policies below:**

**a. Rents set at less than 30% than adjusted income**

**1.  Yes  No: Does the PHA plan to charge rents at a fixed amount or percentage less than 30% of adjusted income?**

**2. If yes to above, list the amounts or percentages charged and the circumstances under which these will be used below:**

**d. Which of the discretionary (optional) deductions and/or exclusions policies does the PHA plan to employ (select all that apply)**

- For the earned income of a previously unemployed household member
- For increases in earned income
- Fixed amount (other than general rent-setting policy)  
If yes, state amount/s and circumstances below:
- Fixed percentage (other than general rent-setting policy)  
If yes, state percentage/s and circumstances below:
- For household heads
- For other family members
- For transportation expenses
- For the non-reimbursed medical expenses of non-disabled or non-elderly families
- Other (describe below)

**e. Ceiling rents**

**1. Do you have ceiling rents? (rents set at a level lower than 30% of adjusted income) (select one)**

- Yes for all developments
- Yes but only for some developments
- No

**2. For which kinds of developments are ceiling rents in place? (select all that apply)**

- For all developments
- For all general occupancy developments (not elderly or disabled or elderly only)
- For specified general occupancy developments
- For certain parts of developments; e.g., the high-rise portion
- For certain size units; e.g., larger bedroom sizes
- Other (list below)

**3. Select the space or spaces that best describe how you arrive at ceiling rents (select all that apply)**

- Market comparability study
- Fair market rents (FMR)
- 95<sup>th</sup> percentile rents

- 75 percent of operating costs
- 100 percent of operating costs for general occupancy (family) developments
- Operating costs plus debt service
- The "rental value" of the unit
- Other (list below)

**f. Rent re-determinations:**

**1. Between income reexaminations, how often must tenants report changes in income or family composition to the PHA such that the changes result in an adjustment to rent? (select all that apply)**

- Never
- At family option
- Any time the family experiences an income increase
- Any time a family experiences an income increase above a threshold amount or percentage: (if selected, specify threshold) \$2000.00
- Other (list below)

**g.  Yes  No: Does the PHA plan to implement individual savings accounts for residents (ISAs) as an alternative to the required 12 month disallowance of earned income and phasing in of rent increases in the next year?**

**(2) Flat Rents**

**1. In setting the market-based flat rents, what sources of information did the PHA use to establish comparability? (select all that apply.)**

- The section 8 rent reasonableness study of comparable housing
- Survey of rents listed in local newspaper
- Survey of similar unassisted units in the neighborhood
- Other (list/describe below)

**B. Section 8 Tenant-Based Assistance**

**Exemptions:** PHAs that do not administer Section 8 tenant-based assistance are not required to complete sub-component 4B. Unless otherwise specified, all questions in this section apply only to the tenant-based section 8 assistance program (vouchers, and until completely merged into the voucher **(1) Payment Standards**)

**Describe the voucher payment standards and policies.**

**a. What is the PHA's payment standard? (select the category that best describes your standard)**

- At or above 90% but below 100% of FMR
- 100% of FMR
- Above 100% but at or below 110% of FMR
- Above 110% of FMR (if HUD approved; describe circumstances below)

**b. If the payment standard is lower than FMR, why has the PHA selected this standard? (select all that apply)**

- FMRs are adequate to ensure success among assisted families in the PHA's segment of the FMR area
- The PHA has chosen to serve additional families by lowering the payment standard
- Reflects market or submarket
- Other (list below)

**c. If the payment standard is higher than FMR, why has the PHA chosen this level? (select all that apply)**

- FMRs are not adequate to ensure success among assisted families in the PHA's segment of the FMR area
- Reflects market or submarket
- To increase housing options for families
- Other (list below)

**d. How often are payment standards reevaluated for adequacy? (select one)**

- Annually
- Other (list below)

**e. What factors will the PHA consider in its assessment of the adequacy of its payment standard? (select all that apply)**

- Success rates of assisted families
- Rent burdens of assisted families
- Other (list below)

**(2) Minimum Rent**

**a. What amount best reflects the PHA's minimum rent? (select one)**

- \$0
- \$1-\$25
- \$26-\$50

**b.  Yes  No: Has the PHA adopted any discretionary minimum rent hardship exemption policies? (if yes, list below)**

## **5. Operations and Management**

[24 CFR Part 903.79 (e)]

Exemptions from Component 5: High performing and small PHAs are not required to complete this section. Section 8 only PHAs must complete parts A, B, and C(2)

### **A. PHA Management Structure**

**(Select one)** Describe the PHA's management structure and organization.

\_\_\_\_\_ An organization chart showing the PHA's management structure and organization is attached.

\_\_\_\_\_ A brief description of the management structure and organization of the PHA follows:

### **B. HUD Programs Under PHA Management**

\_\_\_\_\_. List Federal programs administered by the PHA, number of families served at the beginning

<b>Program Name</b>	<b>Units or Families Served at Year Beginning</b>	<b>Expected Turnover</b>
<b>Public Housing</b>		
<b>Section 8 Vouchers</b>		
<b>Section 8 Certificates</b>		
<b>Section 8 Mod Rehab</b>		
<b>Special Purpose Section 8 Certificates/Vouchers (list individually)</b>		
<b>Public Housing Drug Elimination Program (PHDEP)</b>		
<b>Other Federal Programs(list individually)</b>		

### **C. Management and Maintenance Policies**

List the PHA's public housing management and maintenance policy documents, manuals and handbooks that contain the Agency's rules, standards, and policies that govern maintenance and management of public housing, including a description of any measures necessary for the prevention or eradication of pest infestation (which includes cockroach infestation) and the policies governing Section 8 management.

(1) Public Housing Maintenance and Management: (list below)

Maintenance Plan

(2) Section 8 Management: (list below)

## **6. PHA Grievance Procedures**

[24 CFR Part 903.79(f)]

Exemptions from component 6: High performing PHAs are not required to complete component 6. Section 8-Only PHAs are exempt from sub-component 6A.

### **A. Public Housing**

1.  Yes  No: Has the PHA established any written grievance procedures in addition to federal requirements found at 24 CFR Part 966, Subpart B, for residents of public housing?

If yes, list additions to federal requirements below:

2. Which PHA office should residents or applicants to public housing contact to initiate the PHA grievance process? (select all that apply)

- PHA main administrative office  
 PHA development management offices  
 Other (list below)

### **B. Section 8 Tenant-Based Assistance**

1.  Yes  No: Has the PHA established informal review procedures for applicants to the Section 8 tenant-based assistance program and informal hearing procedures for families assisted by the Section 8 tenant-based assistance program in addition to federal requirements found at 24 CFR 982?

If yes, list additions to federal requirements below:

2. Which PHA office should applicants or assisted families contact to initiate the informal review and informal hearing processes? (select all that apply)

- PHA main administrative office  
 Other (list below)

## 7. Capital Improvement Needs

[24 CFR Part 903.79 (g)]

Exemptions from Component 7: Section 8 only PHAs are not required to complete this component and may skip to Component 8.

### A. Capital Fund Activities

Exemptions from sub-component 7A: PHAs that will not participate in the Capital Fund Program may skip to component 7B. All other PHAs must complete 7A as instructed.

#### (1) Capital Fund Program Annual Statement

Using parts I, II, and III of the Annual Statement for the Capital Fund Program (CFP), identify capital activities the PHA is proposing for the upcoming year to ensure long-term physical and social viability of its public housing developments. This statement can be completed by using the CFP Annual Statement tables provided in the table library at the end of the PHA Plan template OR, at the PHA's option, by completing and attaching a properly updated HUD-52834.

Select one:  
X The Capital Fund Program Annual Statement is provided as an attachment to the PHA Plan at Attachment (state name) NC045a02

-or-

\_\_\_\_\_ The Capital Fund Program Annual Statement is provided below: (if selected, copy the CFP Annual Statement from the Table Library and insert here)

#### (2) Optional 5-Year Action Plan

Agencies are encouraged to include a 5-Year Action Plan covering capital work items. This statement can be completed by using the 5-Year Action Plan table provided in the table library at the end of the PHA Plan template OR by completing and attaching a properly updated HUD-52834.

a. X Yes No. Is the PHA providing an optional 5-Year Action Plan for the Capital Fund? (if no, skip to sub-component 7B)

b. If yes to question a, select one:

X The Capital Fund Program 5-Year Action Plan is provided as an attachment to the PHA Plan at Attachment (state name) NC045a03

-or-

\_\_\_\_\_ The Capital Fund Program 5-Year Action Plan is provided below: (if selected, copy the CFP optional 5 Year Action Plan from the Table Library and insert here)

## B. HOPE VI and Public Housing Development and Replacement Activities (Non-Capital Fund)

Applicability of sub-component 7B: All PHAs administering public housing. Identify any approved HOPE VI and/or public housing development or replacement activities not described in the Capital Fund Program Annual Statement.

\_\_\_\_\_ Yes X No: a) Has the PHA received a HOPE VI revitalization grant? (if no, skip to question c; if yes, provide responses to question b for each grant, copying and completing as many times as

necessary)

**b) Status of HOPE VI revitalization grant (complete one set of questions for each grant)**

**1. Development name:**

**2. Development (project) number:**

**3. Status of grant: (select the statement that best describes the current status)**

**Revitalization Plan under development**

**Revitalization Plan submitted, pending approval**

**Revitalization Plan approved**

**Activities pursuant to an approved Revitalization Plan underway**

**Yes**  **No: c) Does the PHA plan to apply for a HOPE VI Revitalization grant in the Plan year?**

**If yes, list development name/s below:**

**Yes**  **No: d) Will the PHA be engaging in any mixed-finance development activities for public housing in the Plan year?**

**If yes, list developments or activities below:**

**Yes**  **No: e) Will the PHA be conducting any other public housing development or replacement activities not discussed in the Capital Fund Program Annual Statement?**

**If yes, list developments or activities below:**

**8. Demolition and Disposition**

**Applicability of Component 8:** Section 8 only PHAs are not required to complete this section.  
 1.  Yes  No: **Does the PHA plan to conduct any demolition or disposition activities (pursuant to section 18 of the U.S. Housing Act of 1937 (42 U.S.C. 1437p)) in the plan Fiscal Year? (If “No”, skip to component 9; if “yes”, complete one activity description for each development.)**

**2. Activity Description**

Yes  No: **Has the PHA provided the activities description information in the optional Public Housing Asset Management Table? (If “yes”, skip to component 9. If “No”, complete the Activity Description table below.)**

<b>Demolition/Disposition Activity Description</b>
<b>1a. Development name:</b> <b>1b. Development (project) number:</b>
<b>2. Activity type:</b> <input type="checkbox"/> Demolition <input type="checkbox"/> Disposition
<b>3. Application status (select one)</b> <input type="checkbox"/> Approved <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
<b>4. Date application approved, submitted, or planned for submission: <u>(DD/MM/YY)</u></b>
<b>5. Number of units affected:</b> <b>Coverage of action (select one)</b> <input type="checkbox"/> Part of the development <input type="checkbox"/> Total development
<b>7. Timeline for activity:</b> <b>a. Actual or projected start date of activity:</b> <b>b. Projected end date of activity:</b>

**9. Designation of Public Housing for Occupancy by Elderly Families or Families with Disabilities or Elderly Families and Families with Disabilities**

24 CFR Part 987.001(b) Component 9; Section 8 only PHAs are not required to complete this section.

1.  Yes  No: **Has the PHA designated or applied for approval to designate or does the PHA plan to apply to designate any public housing for occupancy only by the elderly families or only by families with disabilities, or by elderly families and families with disabilities or will apply for designation for occupancy by only elderly families or only families with disabilities, or by elderly families and families with disabilities as provided by section 7 of the U.S. Housing Act of 1937 (42 U.S.C. 1437e) in the upcoming fiscal year? (If “No”, skip to component 10. If “yes”, complete one activity description for each development, unless the PHA is eligible to complete a streamlined submission; PHAs completing streamlined submissions may skip to component 10.)**

2. **Activity Description**  
 Yes  No: **Has the PHA provided all required activity description information for this component in the optional Public Housing Asset Management Table? If “yes”, skip to component 10. If “No”, complete the Activity Description table below.**

<b>Designation of Public Housing Activity Description</b>
<b>1a. Development name:</b> <b>1b. Development (project) number:</b>
<b>2. Designation type:</b> <input type="checkbox"/> <b>Occupancy by only the elderly</b> <input type="checkbox"/> <b>Occupancy by families with disabilities</b> <input type="checkbox"/> <b>Occupancy by only elderly families and families with disabilities</b>
<b>3. Application status (select one)</b> <input type="checkbox"/> <b>Approved; included in the PHA’s Designation Plan</b> <input type="checkbox"/> <b>Submitted, pending approval</b> <input type="checkbox"/> <b>Planned application</b>
<b>4. Date this designation approved, submitted, or planned for submission:</b> <u>(DD/MM/YY)</u>
<b>5. If approved, will this designation constitute a (select one)</b> <input type="checkbox"/> <b>New Designation Plan</b>

<input type="checkbox"/> <b>Revision of a previously-approved Designation Plan?</b>
<b>Number of units affected:</b>
<b>7. Coverage of action (select one)</b>
<input type="checkbox"/> <b>Part of the development</b>
<input type="checkbox"/> <b>Total development</b>

## **10. Conversion of Public Housing to Tenant-Based Assistance**

[24 CFR Part 903.79 (j)]

Exemptions from Component 10; Section 8 only PHAs are not required to complete this section.

### **A. Assessments of Reasonable Revitalization Pursuant to section 202 of the HUD FY 1996 HUD Appropriations Act**

1.  Yes  No: Have any of the PHA's developments or portions of developments been identified by HUD or the PHA as covered under section 202 of the HUD FY 1996 HUD Appropriations Act? (If "No", skip to component 11; if "yes", complete one activity description for each identified development, unless eligible to complete a streamlined submission. PHAs completing streamlined submissions may skip to component 11.)

#### **2. Activity Description**

Yes  No: Has the PHA provided all required activity description information for this component in the optional Public Housing Asset Management Table? If "yes", skip to component 11. If "No", complete the Activity Description table below.

<b>Conversion of Public Housing Activity Description</b>
<b>1a. Development name:</b> <b>1b. Development (project) number:</b>
<b>2. What is the status of the required assessment?</b> <input type="checkbox"/> Assessment underway <input type="checkbox"/> Assessment results submitted to HUD <input type="checkbox"/> Assessment results approved by HUD (if marked, proceed to next question) <input type="checkbox"/> Other (explain below)
<b>3. <input type="checkbox"/> Yes <input type="checkbox"/> No: Is a Conversion Plan required? (If yes, go to block 4; if no, go to block 5.)</b>
<b>4. Status of Conversion Plan (select the statement that best describes the current status)</b> <input type="checkbox"/> Conversion Plan in development <input type="checkbox"/> Conversion Plan submitted to HUD on: (DD/MM/YYYY) <input type="checkbox"/> Conversion Plan approved by HUD on: (DD/MM/YYYY) <input type="checkbox"/> Activities pursuant to HUD-approved Conversion Plan underway
<b>5. Description of how requirements of Section 202 are being satisfied by means</b>

**other than conversion (select one)**

- Units addressed in a pending or approved demolition application (date submitted or approved: \_\_\_\_\_)**
- Units addressed in a pending or approved HOPE VI demolition application (date submitted or approved: \_\_\_\_\_)**
- Units addressed in a pending or approved HOPE VI Revitalization Plan (date submitted or approved: \_\_\_\_\_)**
- Requirements no longer applicable: vacancy rates are less than 10 percent**
- Requirements no longer applicable: site now has less than 300 units**
- Other: (describe below)**

**B. Reserved for Conversions pursuant to Section 22 of the U.S. Housing Act of 1937**

**C. Reserved for Conversions pursuant to Section 33 of the U.S. Housing Act of 1937**

**11. Homeownership Programs Administered by the PHA**

[24 CFR Part 903.7 9 (k)]

**A. Public Housing**

Exemptions from Component 11A: Section 8 only PHAs are not required to complete 11A.

1.  Yes  No: Does the PHA administer any homeownership programs administered by the PHA under an approved section 5(h) homeownership program (42 U.S.C. 1437c(h)), or an approved HOPE I program (42 U.S.C. 1437aaa) or has the PHA applied or plan to apply to administer any homeownership programs under section 5(h), the HOPE I program, or section 32 of the U.S. Housing Act of 1937 (42 U.S.C. 1437z-4). (If “No”, skip to component 11B; if “yes”, complete one activity description for each applicable program/plan, unless eligible to complete a streamlined submission due to small PHA or high performing PHA status. PHAs completing streamlined submissions may skip to component 11B.)

**2. Activity Description**

Yes  No: Has the PHA provided all required activity description information for this component in the optional Public Housing Asset Management Table? (If “yes”, skip to component 12. If “No”, complete the Activity Description table below.)

<b>Public Housing Homeownership Activity Description (Complete one for each development affected)</b>
<b>1a. Development name:</b> <b>1b. Development (project) number:</b>
<b>2. Federal Program authority:</b> <input type="checkbox"/> HOPE I <input type="checkbox"/> 5(h) <input type="checkbox"/> Turnkey III <input type="checkbox"/> Section 32 of the USHA of 1937 (effective 10/1/99)
<b>3. Application status: (select one)</b> <input type="checkbox"/> Approved; included in the PHA’s Homeownership Plan/Program <input type="checkbox"/> Submitted, pending approval <input type="checkbox"/> Planned application
<b>4. Date Homeownership Plan/Program approved, submitted, or planned for submission: (DD/MM/YYYY)</b>
<b>5. Number of units affected:</b> <b>6. Coverage of action: (select one)</b>

Part of the development

Total development

## B. Section 8 Tenant Based Assistance

1.  Yes  No: Does the PHA plan to administer a Section 8 Homeownership program pursuant to Section 8(y) of the U.S.H.A. of 1937, as implemented by 24 CFR part 982 ? (If "No", skip to component 12; if "yes", describe each program using the table below (copy and complete questions for each program identified), unless the PHA is eligible to complete a streamlined submission due to high performer status. High performing PHAs may skip to component 12.)

### 2. Program Description:

#### a. Size of Program

Yes  No: Will the PHA limit the number of families participating in the section 8 homeownership option?

If the answer to the question above was yes, which statement best describes the number of participants? (select one)

25 or fewer participants

26 - 50 participants

51 to 100 participants

more than 100 participants

#### b. PHA-established eligibility criteria

Yes  No: Will the PHA's program have eligibility criteria for participation in its Section 8 Homeownership Option program in addition to HUD criteria?

If yes, list criteria below:

## **12. PHA Community Service and Self-sufficiency Programs**

[24 CFR Part 903.79 (l)]

Exemptions from Component 12: High performing and small PHAs are not required to complete this component if the PHA coordinates with the Welfare (TANF) Agency component C.

### **1. Cooperative agreements:**

Yes  No: Has the PHA entered into a cooperative agreement with the TANF Agency, to share information and/or target supportive services (as contemplated by section 12(d)(7) of the Housing Act of 1937)?

If yes, what was the date that agreement was signed?

DD/MM/YY

### **2. Other coordination efforts between the PHA and TANF agency (select all that apply)**

- Client referrals
- Information sharing regarding mutual clients (for rent determinations and otherwise)
- Coordinate the provision of specific social and self-sufficiency services and programs to eligible families
- Jointly administer programs
- Partner to administer a HUD Welfare-to-Work voucher program
- Joint administration of other demonstration program
- Other (describe)

### **B. Services and programs offered to residents and participants**

#### **(1) General**

##### **a. Self-Sufficiency Policies**

Which, if any of the following discretionary policies will the PHA employ to enhance the economic and social self-sufficiency of assisted families in the following areas? (select all that apply)

- Public housing rent determination policies
- Public housing admissions policies
- Section 8 admissions policies
- Preference in admission to section 8 for certain public housing families
- Preferences for families working or engaging in training or education programs for non-housing programs operated or coordinated by the PHA



<b>Section 8</b>		

b.  Yes  No: If the PHA is not maintaining the minimum program size required by HUD, does the most recent FSS Action Plan address the steps the PHA plans to take to achieve at least the minimum program size?  
If no, list steps the PHA will take below:

**C. Welfare Benefit Reductions**

1. The PHA is complying with the statutory requirements of section 12(d) of the U.S. Housing Act of 1937 (relating to the treatment of income changes resulting from welfare program requirements) by: (select all that apply)

- Adopting appropriate changes to the PHA's public housing rent determination policies and train staff to carry out those policies
- Informing residents of new policy on admission and reexamination
- Actively notifying residents of new policy at times in addition to admission and reexamination.
- Establishing or pursuing a cooperative agreement with all appropriate TANF agencies regarding the exchange of information and coordination of services
- Establishing a protocol for exchange of information with all appropriate TANF agencies
- Other: (list below)

**D. Reserved for Community Service Requirement pursuant to section 12(c) of the U.S. Housing Act of 1937**

### **13. PHA Safety and Crime Prevention Measures**

[24 CFR Part 903.79 (m)]

Exemptions from Component 13: High performing and small PHAs not participating in PHDEP and Section 8. Only PHAs responsible for the safety of public housing residents PHAs that are participating in PHDEP and are submitting a PHDEP Plan with this PHA Plan may skip to sub-component d)

**1. Describe the need for measures to ensure the safety of public housing residents (select all that apply)**

- High incidence of violent and/or drug-related crime in some or all of the PHA's developments
- High incidence of violent and/or drug-related crime in the areas surrounding or adjacent to the PHA's developments
- Residents fearful for their safety and/or the safety of their children
- Observed lower-level crime, vandalism and/or graffiti
- People on waiting list unwilling to move into one or more developments due to perceived and/or actual levels of violent and/or drug-related crime
- Other (describe below)

**2. What information or data did the PHA used to determine the need for PHA actions to improve safety of residents (select all that apply).**

- Safety and security survey of residents
- Analysis of crime statistics over time for crimes committed "in and around" public housing authority
- Analysis of cost trends over time for repair of vandalism and removal of graffiti
- Resident reports
- PHA employee reports
- Police reports
- Demonstrable, quantifiable success with previous or ongoing anticrime/anti drug programs
- Other (describe below)

**3. Which developments are most affected? (list below)**

**B. Crime and Drug Prevention activities the PHA has undertaken or plans to undertake in the next PHA fiscal year**

**1. List the crime prevention activities the PHA has undertaken or plans to undertake: (select all that apply)**

- Contracting with outside and/or resident organizations for the provision of

- crime- and/or drug-prevention activities**
- Crime Prevention Through Environmental Design**
- Activities targeted to at-risk youth, adults, or seniors**
- Volunteer Resident Patrol/Block Watchers Program**
- Other (describe below)**

2. Which developments are most affected? (list below)

**C. Coordination between PHA and the police**

1. Describe the coordination between the PHA and the appropriate police precincts for carrying out crime prevention measures and activities: (select all that apply)

- Police involvement in development, implementation, and/or ongoing evaluation of drug-elimination plan**
- Police provide crime data to housing authority staff for analysis and action**
- Police have established a physical presence on housing authority property (e.g., community policing office, officer in residence)**
- Police regularly testify in and otherwise support eviction cases**
- Police regularly meet with the PHA management and residents**
- Agreement between PHA and local law enforcement agency for provision of above-baseline law enforcement services**
- Other activities (list below)**

2. Which developments are most affected? (list below)

**D. Additional information as required by PHDEP/PHDEP Plan**

PHAs eligible for FY 2000 PHDEP funds must provide a PHDEP Plan meeting specified requirements prior to receipt of PHDEP funds.

Yes  No: **Is the PHA eligible to participate in the PHDEP in the fiscal year covered by this PHA Plan?**

Yes  No: **Has the PHA included the PHDEP Plan for FY 2000 in this PHA Plan?**

Yes  No: **This PHDEP Plan is an Attachment. (Attachment Filename: \_\_\_\_\_)**

**44. <sup>CFR 501.200</sup> RESERVED FOR PET POLICY**



## **15. Civil Rights Certifications**

[24 CFR Part 903.79 (o)]

**Civil rights certifications are included in the PHA Plan Certifications of Compliance with the PHA Plans and Related Regulations.**

## **16. Fiscal Audit**

[24 CFR Part 903.79 (p)]

1.  Yes  No: Is the PHA required to have an audit conducted under section 5(h)(2) of the U.S. Housing Act of 1937 (42 U.S.C. 1437c(h))?  
(If no, skip to component 17.)
2.  Yes  No: Was the most recent fiscal audit submitted to HUD?
3.  Yes  No: Were there any findings as the result of that audit?
4.  Yes  No: If there were any findings, do any remain unresolved?  
If yes, how many unresolved findings remain?
5.  Yes  No: Have responses to any unresolved findings been submitted to HUD?  
If not, when are they due (state below)?

## **17. PHA Asset Management**

[24 CFR Part 903.7 9 (q)]

Exemptions from component 17: Section 8 Only PHAs are not required to complete this component.

High performing and small PHAs are not required to complete this component.

1.  Yes  No: Is the PHA engaging in any activities that will contribute to the long-term asset management of its public housing stock, including how the Agency will plan for long-term operating capital investment, rehabilitation, modernization, disposition, and other needs that have not been addressed elsewhere in this PHA Plan?

2. What types of asset management activities will the PHA undertake? (select all that apply)

- Not applicable
- Private management
- Development-based accounting
- Comprehensive stock assessment
- Other: (list below)

3.  Yes  No: Has the PHA included descriptions of asset management activities in the optional Public Housing Asset Management Table?

**18. Other Information**

[24 CFR Part 903.79 (r)]

**A. Resident Advisory Board Recommendations**

1.  Yes  No: Did the PHA receive any comments on the PHA Plan from the Resident Advisory Board/s?

2. If yes, the comments are: (if comments were received, the PHA MUST select one)

Attached at Attachment (File name)

Provided below:

3. In what manner did the PHA address those comments? (select all that apply)

Considered comments, but determined that no changes to the PHA Plan were necessary.

The PHA changed portions of the PHA Plan in response to comments

List changes below:

Other: (list below)

**B. Description of Election process for Residents on the PHA Board**

1.  Yes  No: Does the PHA meet the exemption criteria provided section 2(b)(2) of the U.S. Housing Act of 1937? (If no, continue to question 2; if yes, skip to sub-component C.)

2.  Yes  No: Was the resident who serves on the PHA Board elected by the residents? (If yes, continue to question 3; if no, skip to sub-component C.)

**3. Description of Resident Election Process**

a. Nomination of candidates for place on the ballot: (select all that apply)

Candidates were nominated by resident and assisted family organizations

Candidates could be nominated by any adult recipient of PHA assistance

Self-nomination: Candidates registered with the PHA and requested a place on ballot

Other: (describe)

b. Eligible candidates: (select one)

- Any recipient of PHA assistance
- Any head of household receiving PHA assistance
- Any adult recipient of PHA assistance
- Any adult member of a resident or assisted family organization
- Other (list)

**c. Eligible voters: (select all that apply)**

- All adult recipients of PHA assistance (public housing and section 8 tenant-based assistance)
- Representatives of all PHA resident and assisted family organizations
- Other (list)

**C. Statement of Consistency with the Consolidated Plan**

For each applicable Consolidated Plan, make the following statement (copy questions as many times as necessary)

**1. Consolidated Plan jurisdiction: (provide name here)**

State of North Carolina

**2. The PHA has taken the following steps to ensure consistency of this PHA Plan with the Consolidated Plan for the jurisdiction: (select all that apply)**

- The PHA has based its statement of needs of families in the jurisdiction on the needs expressed in the Consolidated Plan/s.
- The PHA has participated in any consultation process organized and offered by the Consolidated Plan agency in the development of the Consolidated Plan.
- The PHA has consulted with the Consolidated Plan agency during the development of this PHA Plan.
- Activities to be undertaken by the PHA in the coming year are consistent with the initiatives contained in the Consolidated Plan. (list below)
- Other: (list below)

**4. The Consolidated Plan of the jurisdiction supports the PHA Plan with the following actions and commitments: (describe below)**

**D. Other Information Required by HUD**

Use this section to provide any additional information requested by HUD.

## **Attachments**

**Use this section to provide any additional attachments referenced in the Plans.**



**PHA Plan**  
**Component 7**  
**Table Library**  
**Capital Fund Program Annual Statement**  
**Parts I, II, and II**

**Annual Statement**  
**Capital Fund Program (CFP) Part I: Summary**

Line No.	Summary by Development Account	Total Estimated
<b>1</b>	<b>Total Non-CGP Funds</b>	
<b>2</b>	<b>1406 Operations</b>	
<b>3</b>	<b>1408 Management Improvements</b>	
<b>4</b>	<b>1410 Administration</b>	
<b>5</b>	<b>1411 Audit</b>	
<b>6</b>	<b>1415 Liquidated Damages</b>	
<b>7</b>	<b>1430 Fees and Costs</b>	
<b>8</b>	<b>1440 Site Acquisition</b>	
<b>9</b>	<b>1450 Site Improvement</b>	
<b>10</b>	<b>1460 Dwelling Structures</b>	
<b>11</b>	<b>1465.1 Dwelling Equipment-Nonexpendable</b>	
<b>12</b>	<b>1470 Nondwelling Structures</b>	
<b>13</b>	<b>1475 Nondwelling Equipment</b>	
<b>14</b>	<b>1485 Demolition</b>	
<b>15</b>	<b>1490 Replacement Reserve</b>	
<b>16</b>	<b>1492 Moving to Work Demonstration</b>	
<b>17</b>	<b>1495.1 Relocation Costs</b>	
<b>18</b>	<b>1498 Mod Used for Development</b>	
<b>19</b>	<b>1502 Contingency</b>	
<b>20</b>	<b>Amount of Annual Grant (Sum of lines 2-19)</b>	
<b>21</b>	<b>Amount of line 20 Related to LBP Activities</b>	
<b>22</b>	<b>Amount of line 20 Related to Section 504 Compliance</b>	
<b>23</b>	<b>Amount of line 20 Related to Security</b>	
<b>24</b>	<b>Amount of line 20 Related to Energy Conservation</b>	

**Annual Statement**  
**Capital Fund Program (CFP) Part II: Supporting Table**

Development Number/Name HA-Wide Activities	General Description of Major Work Categories	Development Account Number	Total Estimated Cost

--	--	--	--	--



**Annual Statement  
Capital Fund Program (CFP) Part III: Implementation Schedule**

<b>Development Number/Name HA-Wide Activities</b>	<b>All Funds Obligated (Quarter Ending Date)</b>	<b>All Funds Expended (Quarter Ending Date)</b>

## Optional Table for 5-Year Action Plan for Capital Fund (Component 7)

Complete one table for each development in which work is planned in the next 5 PHA fiscal years. Complete a table for any PHA-wide physical or management improvements planned in the next 5 PHA fiscal year. Copy this table as many times as necessary. Note: PHAs need not include information from Year One of the 5-Year cycle, because this information is included in the Capital Fund Program Annual Statement.

Optional 5-Year Action Plan Tables				
Development Number	Development Name (or indicate PHA wide)	Number Vacant Units	% Vacancies in Development	
Description of Needed Physical Improvements or Management Improvements			Estimated Cost	Planned Start Date (HA Fiscal Year)
<b>Total estimated cost over next 5 years</b>				



# **ADMISSIONS AND OCCUPANCY POLICIES**

## **HOT SPRINGS HOUSING AUTHORITY**

**Date of Adoption:** \_\_\_\_\_

### **504 Compliance Statement**

**This document will be kept in an accessible location and can be examined by individuals with disabilities Monday, Wednesday, and Friday between the hours of 8:00 AM and 4:00 PM.**

**PHA will provide assistance to individuals with disabilities to insure equal access to this document.**

## **504 Equal Access Statement**

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**For vision impaired persons -- the Authority will provide a staff person to assist a vision impaired person in reviewing this document.**

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# OCCUPANCY POLICY

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**1.0..... PURPOSE**

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This Policy is established to allow the Authority to meet its responsibilities pursuant to the United States Housing Act of 1937, as amended, Title VI of the Civil Rights Act of 1964 and all other civil rights requirements, regulations promulgated by the U.S. Department of Housing and Urban Development (HUD), Annual Contributions Contract (ACC), and State and local laws.

---

This Policy governs admission and occupancy of public housing administered by the Hot Springs Housing Authority, hereafter called the Authority. It is the intent of the Authority to ensure decent, safe, and sanitary housing for families of limited income in all public housing units owned or operated by the Authority under the United States Housing Act of 1937, as amended. HUD has approved this policy and will periodically review its implementation.

---

The Authority will not discriminate on the basis of race, color, creed, national origin, religion, age, sex or handicap in any phase of the occupancy process. The occupancy process includes, but is not necessarily limited to, application processing, leasing, transfers, delivery of management and services, access to common facilities, treatment of residents, and termination of occupancy. There shall be no intimidation or retaliatory action by this Authority or its staff against any applicant or resident because of participation in civil rights activities or for having asserted any civil rights under statute, regulations, or requirements pursuant thereto. Further, the race, color, or national origin of the residents of the dwelling units or of the staff shall not be a factor in the assignment of managers and other staff responsible for the administration of the dwelling units.

---

The Authority periodically will review its policy and procedures to assure compliance with housing legislation and civil rights requirements (including Title VI of the Civil Rights Act of 1964, Title VIII of the Civil Rights Act of 1968, Section 504 of the Rehabilitation Act of 1973, the Age Discrimination Act of 1975, and Executive Order 11063).

Objectives

The objectives of this policy are to:

A. Promote the overall goal of drug-free, safe, decent, and sanitary housing for eligible families and to provide opportunities and promote self-sufficiency and economic independence for residents by:

1. Insuring a social and economic mix of low-income residents within each public housing neighborhood in order to foster social stability and upward mobility.

2. Insuring the fiscal stability of the Authority.

3. Lawfully denying admissions or continued occupancy to families whose presence in a public housing neighborhood is likely to adversely affect the health, safety or welfare of other tenants or the physical environment of the neighborhood. To accomplish this objective, the Authority has adopted its "One Strike and You're Out" policy in screening applicants for admission and eviction of tenants. This policy states that the Authority shall conduct appropriate screening of applicants so that admission shall be denied to an applicant who:

a. has a recent history of criminal activity involving crimes to persons or property and/or other criminal acts that affect the health, safety, or right to peaceful enjoyment of the premises by other residents;

b. was evicted from assisted housing within three years of the projected date of admission because of drug-related criminal activity;

c. the Authority determines is illegally using a controlled substance; or

d. the Authority has reasonable cause to believe illegally uses a controlled substance or abuses alcohol in a way that may interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents.

The "One Strike" policy further states that the policy of the Authority is to appropriately evict a public housing resident who:

a. engages in any criminal activity that threatens the health, safety, or right to peaceful enjoyment of the premises by other residents; or

b. any other activity that threatens the health, safety, or right to peaceful enjoyment of the premises by other tenants or employees of the Authority; or

c. engages in any drug-related criminal activity on or off the Authority's property; or

d. the Authority determines is illegally using a controlled substance; or

e. the Authority determines that the resident abuses alcohol or uses a controlled substance in such a way that may interfere with the health, safety, or right to peaceful enjoyment of the premises by other residents.

The terms "appropriate screening" and "appropriately" refer to the Authority's consistent application of discretion to consider all available information and all known circumstances when making a decision to deny admission or to evict, in accordance with provisions of 24 CFR 966.4(1) (5) *Eviction for Criminal Activity-(i) PHA discretion to consider circumstances.*

B. Facilitate the efficient management of the Authority and compliance with Federal Regulations by establishing the policy basis for management procedures, record keeping, and auditing.

C. Comply in letter and spirit with Title VI of the Civil Rights Act of 1964 and all other applicable Federal Laws and regulations to insure that admission to and occupancy of public housing neighborhoods is conducted without regard to race, color, religion, sex, national origin, age, disability, or familial status.

D. Prescribe standards and criteria for tenant selection and annual reexamination of income and family composition.

Terminology the term "he" or "his" used throughout this document is used in the generic sense to include male/female, singular/plural as appropriate.

## 2.1 ADJUSTED INCOME

A. \$480 for each Dependent;

B. \$400 for any Elderly Family;

C. Medical Expenses in an amount that exceed three percent of Annual Income for any Elderly Family (See Note);

D. Handicapped Assistance Expenses in excess of three percent of Annual Income;

E. Child Care Expenses.

F. Any Housing Authority established income exclusion.

---

NOTE: The amount allowable as a deduction for Elderly Families entitled to both medical and handicapped assistance expenses is the amount that the combined expenses exceed three percent of annual income.

## **2.2 ANNUAL INCOME**

**A. Annual Income is the anticipated total income from all sources received by the Family head and spouse (even if temporarily absent) and by each additional member of the Family, including all net income derived from assets for the 12-month period following the effective date of initial determination or reexamination of income, exclusive of certain types of income specified in paragraph C in this section.**

**B. Income includes, but is not limited to:**

- 1. The full amount (before any payroll deductions) of wages and salaries, overtime pay, commissions, fees, tips and bonuses, and other compensation for personal services;**
- 2. The net income from operation of business or profession (for this purpose, expenditures for business expansion or amortization of capital indebtedness shall not be deducted to determine the net income from a business, but straight-line depreciation of assets is allowable);**

**3. Interest, dividends, and other net income of any kind from real or personal property (for this purpose, expenditures for amortization of capital indebtedness shall not be deducted to determine the net income from real or personal property, but straight-line depreciation of assets is permissible). Where the Family has Net Family Assets in excess of \$5,000, Annual Income shall include the greater of the actual income derived from all Net Family Assets or a percentage of the value of such assets based on the current passbook savings rate, as determined by HUD;**

**4. The full amount of periodic payments received from annuities, insurance policies, retirement funds, pensions, death benefits, and similar types of periodic receipts. (See paragraph C.3 of this section.)**

**5. Payments in lieu of earnings, such as unemployment and disability compensation, worker's compensation and severance pay (see paragraph C.3 of this section);**

**6. Periodic and determinable allowances, such as alimony and child support payments, and regular contributions or gifts received from persons not residing in the dwelling.**

**7. All regular pay, special pay and allowances of a member of United States Armed Forces (see paragraph C.7 of this section).**

**C. Annual Income does NOT include the following:**

**1. Income from employment of children (including foster children) under the age of 18 years;**

**2. Payments received for the care of foster children;**

**3. Lump sum additions to Family assets, such as inheritances, insurance payments (including payments under health and accident insurance and worker's compensation), capital gains and settlement for personal or property losses (but see paragraph B.5 of this section);**

**4. Amounts received by the Family that are specifically for, or in reimbursement of, the cost of medical expenses for any family member;**

**5. Income of a Live-in Aide, as defined in Section 2.17;**

**6. Amounts of educational scholarships paid directly to the student or to the educational institution, and amounts paid by the Government to a veteran, for**

**use in meeting the costs of tuition, fees, books, and equipment, materials, supplies, transportation, and miscellaneous personal expenses of the student.**

**7. The special pay to a Family member serving in the Armed Forces who is exposed to hostile fire;**

**8. Amounts received under training programs funded by HUD.**

**9. Amounts received by a Disabled person that are disregarded for a limited time for purposes of Supplemental Security Income eligibility and benefits because they are set aside for use under a Plan to Attain Self-Sufficiency (PASS);**

**10. Amounts received by a participant in other publicly assisted programs which are specifically for or in reimbursement of out-of-pocket expenses incurred (special equipment, clothing, transportation, child care, etc.) and which are made solely to allow participation in a specific program;**

**11. Temporary, nonrecurring or sporadic income (including gifts); or**

**12. Amounts specifically excluded by any other Federal statute from consideration as income for purposes of determining eligibility or benefits under a category of assistance programs that includes assistance under the United States Housing Act of 1937**

**13. Resident service stipends, but only if the resident service stipend does not exceed \$200 per month. A resident service stipend is a modest amount received by a resident for performing a service for the Housing Authority, on a part-time basis, that enhances the quality of life in the assisted housing development. If more than \$200 per month is paid to a resident, the entire amount received as a stipend does not qualify as a resident service stipend. There will be no limit to the number of stipends a family may receive; however, each family member may only exclude one stipend at a time.**

**14. Payments received for the care of adopted children to the extent that the payments exceed \$480 per adopted child.**

**15. All amounts received from student financial assistance. Student financial assistance is interpreted broadly to include various scholarships, educational entitlements, grants, work-study programs, and financial aid packages.**

**16. Earnings in excess of \$480 for each full-time student 18 years old or older (except the head of household and spouse). The exemption only applies to**

earnings in excess of \$480 since the family already receives a \$480 deduction from income for any full-time student.

17. Payments for the care of foster adults (usually individuals with disabilities unrelated to the resident family, who are unable to live alone).

18. Compensation received from qualifying employment training programs and training of resident management staff. To qualify under this exclusion, the compensation received must be a component of a State or local employment training program with clearly defined goals and objectives. Only the compensation received incident to the training program is excluded (i.e., any additional income received during the training program, such as welfare benefits will continue to be counted as income). This exclusion only covers compensation received while the resident participates in the employment training program, and the duration of participation must be for a limited period determined in advance. An example of compensation which falls under this exclusion is compensation received from on-the-job training and during apprenticeship programs.

19. State rent credits and rebates for property taxes paid on a dwelling unit.

20. Amounts paid by a State agency to families that have developmentally disabled children or adult family members living at home.

If it is not feasible to anticipate a level of income over a 12 month period, the income anticipated for a shorter period may be annualized, subject to a re-determination at the end of the shorter period.

### 2.3 INCOME EXCLUSIONS

In order to encourage applicants and tenants to seek employment and increase their earned income, the Housing Authority, in accordance with Notice PIH 96-71, shall allow an optional earned income exclusion of \$2000 in increased wages and salaries until the next reexamination.

HUD has five allowable deductions from Annual Income:

1. **Dependent allowance: \$480 each for family members (other than the head or spouse), who are minors, and for family members who are 18 and older who are full-time students or who are disabled.**
2. **"Elderly" allowance: \$400 per household for families whose head or spouse is 62 or over or disabled.**

3. **Allowable medical expenses for all family members are deducted for elderly and disabled families.**
4. **Childcare expenses for children under 13 are deducted when child care is necessary to allow an adult member to work, attend school, or actively seek employment.**
5. **Expenses for attendant care or auxiliary apparatus for persons with disabilities if needed to enable the individual or an adult family member to work.**

#### **2.4 APPLICATION FOR ADMISSION**

**A written form to be signed and dated by an adult member of the Family which includes information the Authority needs to determine whether the family can be admitted in accordance with PHA adopted policies. The format for this basic information will be developed by the Authority.**

#### **2.5 CHARACTERISTICS OF THE UNIT**

**Number of bedrooms, mobility impaired designated units, hearing/vision impaired designated units, regular units (those not designed or designated for, mobility impaired or hearing/vision impaired), and location of units as it relates to the city, town, or county in which the unit is located.**

#### **2.6 CHILD CARE EXPENSES**

**Amounts anticipated to be paid by the Family for the care of children under 13 years of age during the period for which Annual Income is computed, but only where such is necessary to enable a Family member to be gainfully employed or to further his or her education and only to the extent such amounts are not reimbursed. The amount deducted shall reflect reasonable charges for child care, and, in the case of child care necessary to permit employment, the amount deducted shall not exceed the amount of income received from such employment. Reasonable child care expenses as defined by the Authority should not exceed \$50.00 per week per child.**

#### **2.7 CITIZEN**

**A citizen (by birth or naturalization) or a national of this country.**

**2.8 DEPENDENT**

**A member of the Family household (excluding foster children) other than Family head or spouse, who is a minor or is a Disabled Person, an Individual with Handicaps, or is a Full-time Student.**

**2.9 DISABLED PERSON**

**A person who is under a disability as defined in Section 223 of the Social Security Act [42 USC 423] or who has a developmental disability as defined in § 102(7) of the Developmental Disabilities Assistance and Bill of Rights Act [42 USC 6001(7)].**

**2.10 DISPLACED PERSON**

**A person displaced by governmental action, or a person whose dwelling has been extensively damaged or destroyed as a result of a disaster declared or otherwise formally recognized pursuant to Federal disaster relief laws.**

**2.11 A. ELDERLY FAMILY**

**A Family whose head or spouse (or sole member) is Elderly, Disabled, or an Individual with Handicaps. It may include two or more Elderly, Disabled, or Individuals with Handicaps living together; or one or more of these persons living with one or more Live-in Aides.**

**B. NEAR ELDERLY FAMILY**

**A near elderly family is defined as a family whose head or spouse (or sole member) is at least 50 years old but under the age of 62 years.**

**Near Elderly Applicants do not get priority for housing in the Authority's elderly site(s) unless the site has been designated as an elderly site.**

## **2.12 ELDERLY PERSON**

**A person who is at least 62 years of age.**

## **2.13 EVIDENCE OF CITIZENSHIP OR ELIGIBLE IMMIGRATION STATUS**

**The documents which must be submitted to evidence citizenship or eligible immigration status.**

## **2.14 FAMILY**

**Two or more persons sharing residency whose income and resources are available to meet the family's needs and who are related by blood, marriage or operation of law (or who give evidence of a stable relationship which has existed over a period of time). Single pregnant women with no other children (or a single person in the process of legally adopting a child) constitute a family and have the same status as a family consisting of two or more persons. A single person is eligible without restriction effective August 25, 1993.**

**Families include (1) Elderly (head or spouse over 62), (2) Single Person who is handicapped or disabled, (2) the remaining member of a resident family, (3) a Displaced Person, or (4) a Single Person.**

**Singles are eligible, but elderly families and disabled and displaced singles get preference over other singles.**

## **2.15 FULL-TIME STUDENT**

**A person who is carrying a subject load that is considered full-time for day students under the standards and practices of the educational institution attended. An educational institution includes a vocational school with a diploma or certificate program, as well as an institution offering a college degree.**

## **2.16 HANDICAPPED ASSISTANCE EXPENSE**

**Reasonable costs that are anticipated, during the period for which Annual Income is computed, for Live-in Aids and auxiliary apparatus for a Handicapped or Disabled Family member and that are necessary to enable a Family member to work.**

**2.17 HEAD OF HOUSEHOLD**

**The Head of Household is an adult member of the Family who is responsible for supplying the needs of the Family.**

**2.18 INDIVIDUAL WITH HANDICAPS**

**A person having a physical or mental impairment that (a) is expected to be of long/continued and indefinite duration, (b) substantially impedes his/her ability to live independently, and (c) is of a nature that such ability could be improved by more suitable housing conditions.**

**2.19 INS**

**The United States Immigration and Naturalization Service.**

**2.20 INVOLUNTARILY DISPLACED APPLICANT**

**A. An applicant is or will be considered involuntarily displaced if applicant has vacated or will have to vacate his/her housing unit as a result of one or more of the following actions:**

- 1. A disaster, such as a fire or flood, that results in the uninhabitability of an applicants's unit;**
- 2. Activity carried on by an agency of the United States or by any State or local governmental body or agency in connection with code enforcement or a public improvement or development program; or**
- 3. Action by a housing owner that results in an applicant's having to vacate his or her unit, where:**
  - a. The reason for the owner's action is beyond an applicant's ability to control or prevent;**
  - b. The action occurs despite an applicant's having met all previously imposed conditions of occupancy; and**
  - c. The action taken is other than a rent increase.**

**B. An applicant also is involuntarily displaced if:**

- 1. The applicant has vacated his/her housing unit as a result of actual or threatened physical violence directed against the applicant or one or more members of the applicant's family by a spouse or other member of the applicant's household; or**
- 2. The applicant lives in a housing unit with such an individual who engages in such violence.**

**NOTE:**

**The definition of displacement by domestic violence is clarified in two ways. First, the victim does not have to have a property right (such as a dwelling lease) to the unit where the violence has occurred. Second, the perpetrator of the violence may not reside with the applicant family after admission unless the Authority has given advance written approval.**

- 3. The applicant has been displaced to avoid reprisals (witness relocation). This will apply when a family member has provided information on criminal activity to a law enforcement agency and, based on a threat assessment, the law enforcement agency recommends rehousing the family to avoid reprisals.**
- 4. The applicant is displaced due to a hate crime. A hate crime means actual or threatened physical violence or intimidation against a person or the person's property that is based on the person's race, color, religion, sex, national origin, handicap, or familial status.**
- 5. The applicant is displaced by inaccessibility of a unit. This applies when a family member has a mobility or other impairment that makes the person unable to use critical elements of the unit and the owner is not legally obligated to make the necessary changes as a reasonable accommodation to the disabled person.**

**C. For purposes of A.3 above, reasons for an applicant's having to vacate a housing unit include, but are not limited to, conversion of an applicant's housing unit to non-rental or non-residential use; closure of an applicant's housing unit for rehabilitation or for any other reason; notice to an applicant that he or she must vacate a unit because the owner wants the unit for the owner's personal or family use or occupancy; sale of a housing unit in which an applicant resides under an agreement that the unit must be vacant when possession is transferred; or any other legally authorized act that results or will result in the withdrawal by the owner of the unit or structure from the rental market. Such reasons do not include the vacating of a unit by a resident as a result of actions taken because of the resident's refusal:**

- 1. To comply with applicable program policies and procedures with respect to**

**the occupancy of underoccupied and overcrowded units; or**

**2. To accept a transfer to another housing unit in accordance with a court decree or in accordance with such policies and procedures under a HUD-approved desegregation plan.**

**2.21 LIVE-IN AIDE**

**A person who resides with an Elderly person, a Disabled person, or with an Individual with Handicaps who (a) is determined by the Authority to be essential to the care and well-being of the person; (b) is not obligated for support of the person, and (c) would not be living in the unit except to provide necessary supportive services.**

**2.22 LOCATION (OR SITE)**

**A term used to identify units located in any common geographic area. It may be a project, a portion of a project, two or more projects, an entire project plus portion(s) of another. If the units are divided by a major architectural or topographic barrier, such as a freeway, stream or retaining wall, which substantially impairs mutual access, the separated units shall constitute separate locations or sites.**

**2.23 LOWER INCOME FAMILY**

**A family whose annual income does not exceed 80 percent of the median income by family size for the area, as determined by HUD.**

**2.24 MEDICAL EXPENSES**

**Those medical expenses, including medical insurance premiums, that are anticipated during the period for which Annual Income is computed, and that are not covered by insurance.**

**2.25 MINOR**

**Minor is a person under the age of legal competence unless otherwise determined by State law.**

## **2.26 MIXED FAMILY**

**A family whose members include those with citizenship or eligible immigration status, and those without citizenship or eligible immigration status.**

## **2.27 MIXED POPULATION PROPERTY**

**A public housing development, or portion of a development, that was reserved for elderly and disabled families at its inception (and has retained that character). If the development was not so reserved at its inception, the PHA has obtained HUD approval to give preference in tenant selection for all units in the development (or portion of the development) to elderly families and disabled families. These developments formerly were known as elderly properties.**

## **2.28 MONTHLY ADJUSTED INCOME**

**One-twelfth of Adjusted Income.**

## **2.29 MONTHLY INCOME**

**One-twelfth of Annual Income.**

## **2.30 NATIONAL**

**A person who owes permanent allegiance to the United States, for example, as a result of birth in a United States territory or possession, including Puerto Rico, the United States Virgin Islands, Guam, Canal Zone, Etc.**

## **2.31 NET FAMILY ASSETS**

**Net cash value after deducting reasonable costs that would be incurred in disposing of real and personal property, savings, stocks, bonds, and other forms of capital investment, excluding interests in Indian trust land and equity accounts in HUD homeownership programs. Generally, the value of necessary items of personal property such as furniture and automobiles shall be excluded. (In cases where a trust fund has been established and the trust is not revocable by, or under the control of, any member of the Family or household, the value of the trust fund will not be considered**

an asset so long as the fund continues to be held in trust. Any income distributed from the trust fund shall be counted when determining Annual Income under § 2.2.) In determining Net Family Assets, the Authority shall include the value of any assets disposed of by an applicant or resident for less than fair market value (including a disposition in trust, but not in a foreclosure or bankruptcy sale), during the two years preceding the date of application for the program or reexamination, as applicable, in excess of the consideration received therefor. In the case of a disposition as a part of a separation or divorce settlement, the disposition will not be considered to be for less than fair market value if the applicant or resident receives important consideration not measurable in dollar terms.

### **2.32 OPTIONAL EARNED INCOME EXCLUSION**

Rule amending HUD's regulations for the public housing and Indian housing programs that govern the definition of annual income. The optional earned income exclusion to annual income allows the Authority to adopt an exclusion for earned income tailored to their own circumstances in order to support the efforts of working families.

### **2.33 PUBLIC HOUSING AGENCY**

Any State, County, municipality, or other government entity or public body (or agency or instrumentality thereof) that is authorized to engage in or assist in the development or operation of housing for low income families. The terms "PHA" or "Authority" occurring within this ACOP shall refer to the Housing Authority.

### **2.34 RANKING APPLICANT FAMILY**

The "ranking applicant family" is that eligible family with the highest priority as defined in this policy, or priority being equal, the earliest date and time of application.

### **2.35 RANKING RENTABLE UNIT**

The "ranking rentable unit" is that rentable dwelling unit which is located in the neighborhood having the greatest number of the same bedroom size and type of rentable vacant units.

A "rentable unit" is a vacant unit which has been prepared for reoccupancy and which is not encumbered by an offer which has been made but not yet been accepted or rejected.

## **2.36 REASONABLE ACCOMMODATION**

**Reasonable accommodation is making alterations or adaptations to provide access to otherwise qualified Individuals with Handicaps in the use of the program and facilities, without causing undue hardship or substantially altering the program or activity.**

## **2.37**

**Section 214 of the Housing and Community Development Act of 1980, as amended(42 U.S.C. 1436a).**

## **2.38 SECTION 214 COVERED PROGRAMS**

**Programs to which the restrictions imposed by Section 214 apply are programs that make available financial assistance pursuant to the United States Housing Act of 1937 (42 U.S.C. 1437-1440), Section 235 or Section 236 of the National Housing Act (12 U.S.C. 1715z-1) and Section 101 of the Housing and Urban Development Act of 1965 (12 U.S.C. 1701s).**

## **2.39 SINGLE PERSON**

**Single Person is a nonelderly person living alone or intending to live alone and who does not qualify as a Elderly Family or a Displaced Person as defined in this section or as the remaining member of a resident family.**

## **2.40 SPOUSE**

**One's husband or wife.**

## **2.41 STANDARD PERMANENT REPLACEMENT HOUSING**

**Standard, permanent replacement housing is housing that is:**

- A. Decent, safe, and sanitary;**
- B. Adequate for the family size; and**

**C. Family occupied under a lease or occupancy agreement.**

**Such housing does not include transient facilities, such as motels, hotels, or temporary shelters for victims of domestic violence or for homeless families (§2.29), and in the case of domestic violence referred to in paragraph B of §2.15, does not include the housing unit in which the applicant and the applicant's spouse or other member of the household who engages in such violence, live.**

**2.42 SUBSTANDARD HOUSING**

**A unit is substandard if it:**

**A. Is dilapidated;**

**A housing unit is dilapidated if it does not provide safe and adequate shelter, and its present condition endangers the health, safety, or well-being of a family, or it has one or more critical defects, or a combination of intermediate defects in sufficient number or extent to require considerable repair or rebuilding.**

**The defects may involve original construction, or they may result from continued neglect or lack of repair or from serious damage to the structure.**

**B. Does not have operable indoor plumbing;**

**C. Does not have a usable flush toilet inside the unit for the exclusive use of a family;**

**D. Does not have a usable bathtub or shower inside the unit for the exclusive use of a family;**

**E. Does not have electricity, or has inadequate or unsafe electrical service;**

**F. Does not have a safe or adequate source of heat;**

**G. Should, but does not, have a kitchen; or**

**H. Has been declared unfit for habitation by an agency or unit of government.**

**I. For purposes of this section, an applicant who is a "homeless family" is living in substandard housing. For purposes of the preceding sentence, a "homeless family" includes any individual or family who:**

1. Lacks a fixed, regular, and adequate nighttime residence; and
2. Has a primary nighttime residence that is:
  - a. A supervised public or privately operated shelter designed to provide temporary living accommodations (including welfare hotels, congregate shelters, and transitional housing for the mentally ill);
  - b. An institution that provides a temporary residence for individuals intended to be institutionalized; or
  - c. A public or private place not designed for, or ordinarily used as, a regular sleeping accommodation for human beings.

A "homeless family" does not include any individual imprisoned or otherwise detained pursuant to an act of Congress or State law.

A "homeless family" will include participants in transitional housing programs.

For purposes of this section, Single Room Occupancy (SRO) housing is not substandard solely because it does not contain sanitary or food preparation facilities (or both).

For the purpose of administering this policy, substandard housing shall be any house or building that does not meet the minimum housing codes of North Carolina, and has been declared substandard by said entity.

#### **2.43 TENANT RENT**

The amount payable monthly by the family as rent to the Authority for occupancy of a unit. Where all utilities (except telephone) and other essential housing services are supplied by the Authority, Tenant Rent equals Total Tenant Payment. Where some or all utilities (except telephone) and other essential housing services are not supplied by the Authority, and the cost thereof is not included in the amount paid as rent, Tenant Rent equals Total Tenant Payment less the Utility Allowance.

#### **2.44 TOTAL TENANT PAYMENT**

Total Tenant Payment does not include charges for excess utility consumption or miscellaneous charges. Total Tenant Payment for a family whose initial lease is

effective on or after August 1, 1982, shall be the highest of the following, rounded to the nearest dollar:

1. **30 percent of Monthly Adjusted Income;**
2. **10 percent of Gross Monthly Income;**
3. **Welfare assistance set out in 24 CFR §913.107(a)(3);**
4. **For a mixed family, the amount determined under proration of assistance;**
5. **A minimum of \$50.00, which has been set by the PHA in accordance with federal law.**

**NOTE:** In some instances, applicable utility allowances used in the calculation of tenant rent may result in a tenant qualifying for a utility reimbursement despite the requirement of a minimum rent.

### **CEILING RENT**

The Authority acknowledges that there are several advantages to ceiling rents. Ceiling rents provide a "cap" or maximum rent which is advantageous to families of higher incomes. Establishing ceiling rents offers families of increasing or higher incomes an incentive for living in public housing. Ceiling rents help the Authority to attract higher income families and create a broad range of incomes and a more diverse tenant body, which is consistent with HUD's affirmative fair housing goals. Ceiling rents serve to assist families transitioning from welfare to work and families that desire to obtain better jobs. Ceiling rents may also help the Authority to fill vacancies in some of its less desirable units or developments.

For all units where ceiling rents are applied the lower of the total tenant payment or the ceiling rent will be applied.

### **Fair Market Rent as a Basis for Ceiling Rents**

The Authority will apply ceiling rents to all of its public housing units using as a basis the current fair market rent for units comparable in size, location, quality, unit type, age, housing services, maintenance, utilities and amenities in the area in which each public housing development is located.

The Authority will not set ceiling rents below the monthly operating cost to operate the units.

### **Ceiling Rents as Authorized Under the 1998 QHWRA**

**The Authority will not set ceiling rents below 75 percent of the monthly cost to operate the units at any of its public housing units.**

**The Authority will not set ceiling rents below 100 percent of the monthly cost to operate the units for housing designated for occupied predominantly by elderly or disabled families.**

**HUD defines predominantly as at least 80 percent occupancy by such families.**

**The monthly cost of operating the Authority's housing is defined as one twelfth of the sum of all annual operating expenses reported on the Statement of Operating Receipts and Expenditures as of the end of the most recent fiscal year and the aggregate annual utility allowances for all tenant paid utilities; minus the sum of (1) excess utility charges and (2) annual cost, if any, associated with units approved for deprogramming [\*PIH Notice 98-41].**

**The Authority will ensure that all of its ceiling rents will be unit based and not applied to certain families or certain categories of families.**

**The ceiling rents have been established as the fair market rents for this area.**

#### **FLAT RENT**

**The following flat rents have been established:**

<b>1-bedroom apartment</b>	<b>\$225.00</b>
<b>2-bedroom apartment</b>	<b>\$275.00</b>
<b>3-bedroom apartment</b>	<b>\$375.00</b>

#### **2.45 UTILITIES**

**Utilities are water, electricity, gas, other heating, refrigeration, cooking fuels, trash collection, and sewerage services. Telephone service is not included as a utility.**

#### **2.46 UTILITY ALLOWANCE**

**If the cost of utilities (except telephone) and other housing services for an assisted unit**

is not included in the Tenant Rent but is the responsibility of the family occupying the unit, an amount equal to the estimate made or approved by the Authority or HUD, under 24 CFR Part 965, of the monthly cost of a reasonable consumption of such utilities and other services for the unit by an energy conservative household of modest circumstances consistent with the requirements of a safe, sanitary, and healthful living environment. The schedule of utility allowance is attached as Appendix A.

**2.47 UTILITY REIMBURSEMENT**

The amount, if any, by which the Utility Allowance for the unit, if applicable, exceeds the Total Tenant Payment for the family occupying the unit.

**2.48 VERY LOW INCOME FAMILY**

A lower income family whose annual income does not exceed 50 percent of the median income by family size for the area, as determined by HUD.

**2.49 VETERAN**

Veteran is a person who served in the active military, naval, or air service, and who was discharged or released therefrom under conditions other than dishonorable.

**2.50 WELFARE ASSISTANCE**

Welfare or other payments to families, based on need, that are made under programs funded, separately or jointly, by Federal, State or local governments.

**3.0 DETERMINATION OF ELIGIBILITY AND SUITABILITY**

The Application for Admission and Record of Applications/Community-Wide Waiting List (hereinafter called "Community-Wide Waiting List:) constitute the basic records of each family applying for admission. The information submitted by each applicant shall be verified to assure that the data upon which determinations are made as to eligibility and suitability for admission are true and complete. The Authority will indicate on each Community-Wide Waiting List either that the applicant meets all of the requirements governing admission as set forth in Section 4 or that the applicant does not meet the requirements and is ineligible for admission.

All admissions to public housing shall be made on the basis of a written application in such form as the PHA shall prescribe. The Application for Admission shall constitute the basic record of each family applying for admission. All supplemental materials pertaining to eligibility shall also be considered a part of the application record and

carefully recorded. This includes verifications of income and family composition and such other data as may be required.

**The following conditions shall govern the taking and processing of applications:**

- 1. This Public Housing Agency will not, on account of race, color, religion, sex, national origin, age, disability, or familial status, deny or hinder any applicant family the opportunity to make application or lease a dwelling unit suitable to its needs in any of its developments.**
- 2. The Authority reserves the right to suspend application taking when the current supply of completed full applications exceeds the number of families which could be reasonably expected to be housed within the next twelve months. In such cases, the Authority may ask applicants to complete abbreviated applications which contain sufficient information to determine unit size, unit type, and local preferences (if applicable).**
- 3. All applications must be made in person by a responsible adult member of the applicant family, who will reside in the household. He/She shall sign the application and certify, subject to civil and criminal penalties, to the accuracy of all statements made therein. The Authority reserves the right to require the signature of any or all adult members of the applicant household. No applications shall be accepted by mail.**
- 4. The Authority will normally take applications from a central location, but reserves the right to establish satellite locations for application taking, so long as all processing is done in a central location.**
- 5. The Authority reserves the right to establish times for taking applications, including by appointment. The Authority staff may at its discretion provide for application interviews outside normal hours when necessary for hardship reasons.**
- 6. Insofar as possible, application interviews shall be conducted in private.**
- 7. In addition to the income, family composition and information unique to each applicant, each application shall indicate the date and time of application and the Authority's determination of eligibility or ineligibility. When the family is eligible, the application shall also record the correct unit size and type; the priority rating; the date of assignment to a dwelling unit and the unit assigned; the date, unit location and reason for rejection for any offers refused by the applicant.**
- 8. Applications shall be updated as applicants report changes in income and family circumstances. All modifications to applications shall be properly documented and the transaction initialed by the staff member making the change.**

**9. From time to time, the Authority shall purge the application pool of applications no longer actively seeking housing. Normally, this shall be performed by removing applicants who fail to respond to a 'still interested' notice mailed to the last known address on the application. It shall be the sole responsibility of the applicant to inform the Authority of changes in address or other family circumstances which might affect the status of the application.**

**10. The Authority shall maintain such records as are necessary to document the disposition of all applications and to meet Department of Housing and Urban Development audit requirements.**

**If the Authority determines the applicant is ineligible, the Authority shall promptly notify the applicant. When requested, and within a reasonable time after the determination is made, the applicant shall be provided an opportunity for an informal hearing.**

**If a determination has been made that the applicant is eligible and satisfies all requirements for admission, the applicant shall be notified of the approximate date of occupancy insofar as that date can be reasonably determined.**

#### **4.0 ADMISSION AND SELECTION**

##### **4.1 OVERALL INCOME ELIGIBILITY FOR ADMISSION**

**An applicant must have an Annual income at the time of admission that does not exceed the low/very low income limits for occupancy established by HUD.**

**The Quality Housing and Work Responsibility Act of 1998 authorizes PHAs to admit families whose income does not exceed the low-income limit (80% of median area income) once the HA has met the annual 40% targeted income requirement of extremely low-income families (families whose income does not exceed 30% of median area income).**

##### **4.2 ELIGIBILITY FOR ADMISSION**

**Eligible applicants for admission for housing with the Authority are those who qualify as a family as defined in § 2.10 and whose Annual Income does not exceed the applicable income limits for admission established by HUD and utilized by the Authority. To be eligible for assistance all family members must be U. S. citizens or noncitizens who have eligible immigration status as given in 24 CFR § 912.5.**

### **4.3 APPLICATIONS**

**A. An application for Admission, as defined in § 2.3, is required for a person to be considered for admission. Applications for Admission will be accepted between the hours of 8:00 AM and 4:00 PM on Monday, Wednesday, and Friday at the Authority's office at 50 Walnut Street.**

**B. The location, facilities, and circumstances for accepting applications will afford persons the greatest opportunity to apply. If applications are taken at more than one location, they will be referred to a central resident selection and assignment office.**

**C. An applicant must contact the Authority every 6 months to indicate continued interest and update any information regarding the application. If an applicant fails to notify the Authority within the specified time, the Authority will remove the application from its active files.**

**D. The date and time the application is received should be noted on the application form. All data is subject to verification. The completed application must be signed by an adult member of the family.**

**E. The Authority will keep a copy of each resident's application for admission to public housing in the resident's file. Any other occupancy information the Authority collects must be retained for at least three years or until audited by HUD, whichever occurs later. This will include data on current applicants and residents, and applications from persons who were never admitted.**

### **4.4 RECORD OF APPLICATIONS/COMMUNITY-WIDE WAITING LIST**

**A. The applicant's name will be placed on a Community-wide Waiting List based on the date and time the application is received by the Authority. The Authority will maintain the Community-wide Waiting List by the required number of bedrooms. The Authority will indicate on the Community-wide Waiting List the following about each applicant family.**

**race/ethnicity.**

**determination of eligibility or ineligibility for selection (§ 4.2).**

**date assigned to dwelling unit and identification of unit to which assigned, or date and unit offered and rejected with reason for the**

rejection noted.

reason for removing applicant from consideration for housing; i.e., upon applicant's request, failure to communicate continued interest, or applicant no longer qualifies.

**B. Only Housing Authorities with 1,250 or more public housing units may establish site-based waiting lists with HUD approval.**

**4.5 SCREENING, VERIFICATIONS, SELECTION OF APPLICANTS AND TENANT ASSIGNMENT**

**A. SCREENING**

**1. Eligible applicants will be screened and those who meet the screening criteria will be considered suitable for housing. Those applicants meeting the screening criteria are those:**

**a. Whose past performance in meeting financial obligations, especially rent, is satisfactory;**

**b. Who have no record of disturbance of neighbors, destruction of property, living or housekeeping habits that adversely affect the health, safety, or welfare of other residents; and**

**c. Who have no history of criminal activity involving crimes of physical violence to persons or property or other criminal acts that adversely affect the health, safety, or welfare of themselves or other residents. This includes, but is not limited to, the possession, sale, or use of illegal substances within the last three (3) years.**

**2. If an applicant has been evicted from housing assisted under the U.S. Housing Act because of drug-related criminal activity (drug use or drug distribution) by any member of the applicant family, the applicant may not be given any tenant selection preference for three years from the date of that eviction.**

**The Authority may waive this restriction for a particular applicant if the Authority determines that the evicted person:**

**a. has successfully completed a rehabilitation program approved by the Authority;**

**b. clearly did not participate in or know about the drug-related**

**criminal activity; or**

**c. no longer participates in any drug-related criminal activity.**

**3. In the event of receipt of unfavorable information regarding conduct of the applicant, the Authority shall give consideration to the time, nature, and extent of applicant's conduct and to factors that might indicate a reasonable probability of favorable future conduct or financial prospects in determining eligibility of the applicant. Factors to be considered in such a case will include the following:**

**a. Evidence of rehabilitation;**

**b. Evidence of applicant family's participation in or willingness to participate in social service or other appropriate counseling service programs and the availability of such programs; OR**

**Evidence of the applicant's willingness to attempt to increase family income and the availability of training or employment programs in the locality.**

**4. Where an handicapped individual is applying for public housing and the individuals's eligibility for admission, level of benefits, or qualification for preferences or priorities does not depend upon his or her being a handicapped person, Authorities may not inquire about the existence, severity of any physical or mental impairment, nor require proof that the applicant is "capable of independent living." However, to the extent necessary to determine eligibility and rent, Authorities may require applicants to provide information about the nature and extent of their handicap or related conditions.**

## **B. VERIFICATIONS**

**In conjunction with the application process, the Authority shall require whatever documentation is needed to verify information the applicant has provided. The applicant (and other family members as the Authority designates) may be required to execute release and consent forms authorizing any person, firm, or association, including any Federal, State, or local agency, to furnish or release to the Authority such information as the Authority determines to be necessary. Verification of eligibility, suitability, and Federally mandated preferences, along with any other information, is to be accomplished by thorough evaluation from information submitted by the applicant or received from third parties.**

**Any request by the Authority to the applicant or third party for verifying documentation must state in definite and clear terms the character, source, and**

**content of documentation sought.**

**Families are required to provide a Social Security Number (SSN) for each family member age six and older prior to admission, if he/she has been issued a number by the Social Security Administration (SSA). Each member of the family defined above must either:**

- 1. Submit SSN documentation, or;**
- 2. Sign a statement certifying that he/she has not been assigned a SSN. If the individual is under 18 years of age, the certification must be executed by his/her parent or guardian.**

**If the participant who has signed a certification form obtains a SSN it must be disclosed at the next regularly scheduled income reexamination. Verification will be done through the provision of a valid Social Security card issued by the SSA. The Authority will accept copies of the Social Security card only when it is necessary for the Authority to verify by mail the continuing eligibility of participant families. Applicants may not become participants until the documentation is provided. The applicant will retain his/her position on the waiting list during this period.**

### **C. INCOME TARGETING**

**The PHA will monitor its admissions to ensure that at least 40 percent of families admitted to public housing in each fiscal year shall have incomes that do not exceed 30% of area median income of the PHA's jurisdiction.**

**Hereafter families whose incomes do not exceed 30% of area median income will be referred to as "very poor families."**

**The PHA shall have the discretion, at least annually, to exercise the "fungibility" provision of the QHWRA by admitting less than 40 percent of "extremely poor families" to public housing in a fiscal year, to the extent that the PHA has provided more than 75 percent of newly available vouchers and certificates to "extremely poor families."**

**The fungibility credits will be used to drop the annual requirement below 40 percent of admissions to public housing for extremely poor families by the lowest of the following amounts:**

**The number of units equal to 10 percent of the number of newly available vouchers and certificates in the fiscal year; or**

**The number of public housing units that 1) are in public housing projects located in census tracts having a poverty rate of 30% or more, and 2) are made available for occupancy by and actually occupied in that year by, families other than extremely low-income families.**

**The Fungibility Floor: Regardless of the above two amounts, in a fiscal year, at least 30% of the PHA's admissions to public housing will be to extremely low-income families. The fungibility floor is the number of units that cause the PHA's overall requirement for housing extremely low-income families to drop to 30% of its newly available units.**

#### **Very Low-Income Family Admissions**

**Once the PHA has met the 40% targeted income requirement for new admissions of extremely low-income families, the PHA will fill the remainder of its new admission units with families whose incomes do not exceed 50% of the HUD approved area median income.**

#### **D. SELECTION**

**1. In selecting residents from among eligible applicants who meet the screening criteria, first consideration shall be given to matching the size and type unit offered to the family's need. The Authority will take into consideration the needs of individual families for Public Housing and the statutory purpose in developing and operating a socially and financially sound low income housing program, which provides a decent home and a suitable living environment and fosters economic and social diversity in the tenant body as a whole. Selection will be made in such a manner as:**

**a. To avoid concentrations of the most economic and socially deprived families in one or all of the projects operated by the PHA.**

**b. To maintain a tenant body in each property composed of families with a broad range of income paying ability which is generally representative of the range of incomes of low income families in the PHA's area of operation as defined by state law.**

**c. To meet the Authority's goal of accomplishing deconcentration of poverty and income mixing objectives.**

**2. Elderly families and disabled and displaced singles get preference**

over other singles.

3. Applications will be ranked and filed in the following hierarchical order:

a. By characteristics of the unit in the following order: location, unit size, unit type (regular, elderly, special handicapped).

b. Then by priority ranking of the following local preferences:

(1) **First Priority - Working Family. *Full-time employment.*** Any head of household legally employed by an employer in a full-time capacity. The head of household must work for wages, commissions, or other consideration of value and have been so gainfully employed after the date of application. The applicant must also demonstrate full-time employment for at least nine months immediately prior to the date of placement. It must be apparent that the full-time employment is of a continuous nature, and the head of household must anticipate such continuous employment after the date of placement. Self-employed individuals would qualify for this Local Preference if the head of the household was able to demonstrate 9 months of full-time self-employment immediately prior to the date of placement; or

*Part-time employment.* Any head of household legally employed by an employer in a part-time capacity. The head of household must work for wages, commissions, or other consideration of value and have been so gainfully employed for at least nine (9) months prior to the date of placement. It must be apparent that the part-time employment is of a continuous, as opposed to a temporary nature, and the head of household must anticipate such continuous employment after the date of placement. Self-employed individuals would qualify for this Local Preference if the head of the household was able to demonstrate 9 months of part-time self-employment, of not less than twenty (20) hours per week, immediately prior to the date of placement; or

*Approved Job Training Program.* Any head of household who is participating in, or enrolled for participation in training, education, or employment program funded by

**HUD, JTPA, or any other Federal, state or local organization, provided that the program's primary purpose is to prepare low and very low-income individuals for economic independence or family self-sufficiency. Such participation must be for a minimum of twenty (20) hour per week, and must be verified in writing by the training, education, or employment provider.**

***Working Family Verification:* This preference may be verified by submission of :**

- a. Executed third party employment verification form;**
- b. Salary or pay stubs for the relevant time period;**
- c. State wage information collection agency documentation;**
- d. Letter from employer on company stationery mailed or delivered to the Housing Authority directly by the employer;**
- e. Written verification of participation in eligible, training, educational or employment program.**
- f. Verification of receipt of Social Security payments.**

**(2) Second Priority - Families who qualify as a working family as defined above, but have been working less than nine months.**

**(3) Third Priority - Previous resident who has moved out of public housing in good standing.**

**c. Within the priorities above, by date and time of application.**

**4. Elderly, near elderly, disabled, and handicapped families will receive a priority only for designated handicap accessible units. The Authority has no units designated for the elderly.**

**5. An applicant who lives in assisted housing may not be denied the benefit of any local preference for which the applicant qualifies.**

## **E. DECONCENTRATION OF POVERTY AND INCOME MIXING**

**The PHA's admission policy is designed to provide for deconcentration of poverty and income-mixing by bringing higher income tenants into lower income projects and lower income tenants into higher income projects.**

**Gross annual income is used for income limits at admission and for income-mixing purposes.**

**Skipping of a family on the waiting list specifically to reach another family with a lower or higher income is not to be considered an adverse action to the family. Such skipping will be uniformly applied until the target threshold is met.**

**The PHA will use the gathered tenant incomes information in its assessment of its public housing developments to determine the appropriate designation to be assigned to the project for the purpose of assisting the PHA in its deconcentration goals.**

### **Deconcentration and Income-Mixing Goals**

**Admission policies related to the deconcentration efforts of the PHA do not impose specific quotas. Therefore, the PHA will not set specific quotas, but will strive to achieve deconcentration and income-mixing in its developments.**

### **Project Designation Methodology**

**The PHA will determine and compare tenant incomes at the developments listed in this Chapter.**

**The PHA will determine and compare the tenant incomes at the developments listed in this Chapter and the incomes of census tracts in which the developments are located.**

**Upon analyzing its findings the PHA will apply the polices, measures and incentives listed in this Chapter to bring higher income families into lower income developments and lower income families into higher income developments.**

**The PHA's goal is to have eligible families having higher incomes occupy dwelling units in projects predominantly occupied by eligible families having lower incomes, and eligible families having lower incomes occupy dwelling units in projects predominantly occupied by eligible families having higher incomes**

**Families having lower incomes include very low- and extremely low-income families.**

**When selecting applicant families [and assigning transfers] for a designated project the PHA will determine whether the selection of the family will**

contribute to the PHA's deconcentration goals.

The PHA will not select families for a particular project if the selection will have a negative effect on the PHA's deconcentration goals. However, if there are sufficient families on the waiting list [or transfer list], under no circumstances will a unit remain vacant longer than necessary.

#### **Method No. 1 - Aggregate Average Method**

The PHA will review the annual resident income of all of its sites and using the incomes of all families in all developments as a baseline, determine the average income of all of its resident families.

The PHA will designate higher income developments those with average income above the aggregate average.

The PHA will designate lower income developments those with average income below the aggregate average.

#### **PHA Incentives for Higher Income Families**

The PHA may offer certain incentives to higher income families willing to move into lower income projects. The PHA will not take any adverse action against any higher income family declining an offer by the PHA to move into a lower income project.

### **F. RESIDENT ASSIGNMENT**

Selection of the applicant families for making offers of dwelling units shall be performed by matching the ranking unit to the ranking applicant as follows:

1. The "ranking rental unit" is that rentable unit dwelling unit which is located in the neighborhood having the greatest number of the same bedroom size and type of rentable units. A "rentable unit" is a vacant unit which has been prepared for reoccupancy and which is not encumbered by an offer which has been made but not yet accepted or rejected. The plan for the assignment of applicants to dwelling units is Plan A as follows:
2. The "ranking applicant family" is that eligible family with the highest priority as defined in this policy, or, priority being equal, the earliest date and time of application.
3. When the ranking applicant is matched to the specific ranking unit, that

**dwelling unit becomes "unrentable" until the offer is made and accepted or rejected. In order to reduce vacancy loss, it is necessary that processing from this point move as quickly as possible. To that end, the following conditions shall apply to dwelling unit offers:**

**a. As an applicant moves near the top of the waiting list, the PHA will contact the applicant family to determine continued interest, to update the application for final processing, to alert the applicant that an offer is likely in the near future, and to inform the applicant about the requirements for move-in, such as utility deposits, security deposits, etc. For an applicant on a short waiting list, this may be included in the process of taking the complete application.**

**b. Upon offer of an apartment, the applicant shall have three business days to accept or reject the apartment. An additional business day may be granted if necessary to allow the applicant to inspect the apartment. Failure to give an answer within the prescribed time period shall be counted as rejection of the offer. Failure to respond to an offer will result in withdrawal of the offer and the application becoming inactive at the expiration of the third day.**

**c. Upon acceptance of the offer, the applicant must complete all outstanding preoccupancy requirements, such as joint unit inspections, establishment of utility service, leasing interview, and lease execution. Normally, this deadline will be within three days of acceptance of the offer, but may be extended a maximum of five additional days at the discretion of the PHA when necessary to alleviate a hardship. Failure to complete move-in requirements within the assigned period will result in withdrawal of the offer and inactivation of the application.**

**4. The head of the household of each family accepted as a tenant is required to execute a lease agreement in such form as the PHA shall require prior to actual admission. All remaining adult members of the household may also sign the lease. One copy of the lease will be given to the lessee and the original will be filed as part of the permanent records established for the family.**

**Each lease shall specify the unit to be occupied, the date of admission, the size of the unit to be occupied, all family members who will live in the unit, the rent to be charged, the date rent is due and payable, other charges under the lease, and the terms of occupancy. It shall be explained in detail to the head of household or other responsible adult before execution of the lease.**

**The lease shall be kept current at all times. If a resident family transfers to**

another unit in the same or another PHA community, the existing lease will be canceled. A new lease will be executed for the unit to which the family is to move by the head of the household. If any other change in the resident's status results in the need to change or amend any provisions of the lease, or if the PHA desires to waive a provision with respect to the resident, (1) the existing lease is to be canceled and a new lease executed, or (2) an appropriate rider is to be prepared and executed and made a part of the existing lease.

Certain documents are made a part of the lease by reference. These include, but are not limited to, the Admission and Continued Occupancy Policy (ACOP), and the Resident Rules and Regulations.

5. When an applicant refuses an apartment, his application shall be returned to the waiting list. After refusal of one offer, his application shall be returned to the bottom of the waiting list, being assigned the lowest priority and an application date and time which corresponds to the date of the refusal. Upon return to the top of the waiting list, such an applicant would be made an offer in accordance with the provisions of this policy. Upon refusal of one such offer, including any in neighborhoods previously refused, the application shall be removed from the waiting list and classified as inactive for a period of twelve months.

If an applicant is willing to accept the unit offered but is unable to move at the time of the offer and presents clear evidence of his inability to move to the PHA's satisfaction, refusal of the offer shall not count as one of the number of allowable refusals permitted the applicant before placing his name at the bottom of the waiting list, or placing the application in the inactive status.

If an applicant presents, to the satisfaction of the PHA, clear evidence that acceptance of a given offer of a suitable vacancy will result in undue hardship or handicap not related to considerations of race, color, or national origin, such as inaccessibility to source of employment, children's day care and the like, refusal of such an offer shall not be counted as one of the number of allowable refusals permitted an applicant prior to placing his name at the bottom of the eligible list or placing the application in the inactive file.

The Authority's locations are (scattered sites):

Walnut  
Frisbee  
Serpentine  
Lawson

Jackson  
Mountain Heights  
French Broad Circle

**6. All offers of units shall be made from the Record of Applications/Community-wide Waiting List (§ 4.4) in proper sequential order, without discriminating because of race, color, national origin, religion, creed, sex, age, or handicap;**

**7. If the ranking unit is not offered, the Authority shall document and retain the reason why it was not offered; (e.g., disrepair, cleaning, etc.).**

## **4.6 TRANSFERS**

### **Objectives of plan**

- **To fully utilize available housing resources while avoiding overcrowding by insuring that each family occupies the appropriately sized unit.**
- **To facilitate humane relocation when required for modernization or other management purposes.**
- **To facilitate relocation of families with complete and permanent inability to continue living in a two-story apartment.**
- **To eliminate vacancy loss and other expense due to unnecessary transfers.**

### **TYPES OF TRANSFERS**

**A. Authority Initiated**The Authority may at its discretion transfer residents because of an uninhabitable unit, major repairs, or other actions initiated by management as follows:

**1. In the event of a fire, accident or natural disaster that results in the dwelling unit becoming uninhabitable, the resident will be offered alternative accommodations within the neighborhood if a rentable unit in the appropriate size is available. If the appropriate size is not available, the family may be overhoused but placed on the transfer list with the transfer being accomplished at the appropriate time. If no unit is available within the neighborhood, the family may be transferred to an appropriate unit available at another Authority-owned neighborhood. If the move is to a site where residents purchase all or some utilities, the resident will pay the cost of any deposit required by the utility company.**

**2. When a resident is transferred because the unit has become uninhabitable, the management of the Authority shall determine the cause of the condition of the unit for the purpose of deciding whether relocation assistance may be offered to the resident and whether the transfer shall be considered permanent.**

**Based on this determination, the following actions will be taken:**

**a. If the condition of the unit is the fault of the Authority, the resident shall be provided with relocation assistance such as the moving of household goods, the cost and methods of which are to be determined by management. The resident will normally be offered the opportunity to return to his original unit at his own expense, assuming that the unit can be rehabilitated and is still the appropriate size for the family.**

**b. If the condition of the unit is the fault of neither the Authority nor the resident, as in the case of a natural disaster, the Authority may provide such relocation assistance as management deems appropriate. A transfer to a correctly sized apartment will be considered permanent.**

**c. If the condition of the unit was caused by the resident, his family or guests, no relocation assistance will be provided and the resident may be charged for all damages to Authority property. A transfer to a correctly sized apartment will be considered permanent.**

**2. If a site requires modernization type work which necessitates vacating apartments, the affected resident will be relocated at the Authority's expense in available vacant units within the Authority. If determined feasible by management, the Authority will attempt to relocate affected residents into vacant units within the site. Other decisions related to modernization transfers will be made by the Executive Director or his/her designee. The Authority may suspend normal transfer procedures to facilitate modernization type activities.**

**B. Transfers for Approved Medical Reasons-Residents may be transferred from a two-level apartment to a single-level apartment when the Authority determines that there is a complete and continuing inability to negotiate stairs or steps. The Authority may require medical documentation of a resident's condition and reserves the right to make its own evaluation of such documentation. Normally such transfers will be within the resident's original neighborhood unless the appropriate size and type of unit does not exist on the site. All other medical related transfer requests shall be determined solely by the Executive Director.**

**A resident who desires to relocate on advice of a physician for reasons other than**

**inability to negotiate stairs may file an application for an apartment with the PHA staff person responsible for taking applications for housing. This application will be processed as any other new application for housing.**

**C. Transfers to Appropriately Sized Unit - Section 5, Paragraph (a) (2) of the dwelling Lease states that:**

**Tenant's family composition NO LONGER conforms to Management's Occupancy standards for the unit occupied, Management may require the Tenant to move into a unit of appropriate size.**

**This section establishes both that the Authority has an obligation to transfer residents to the appropriately sized unit and that residents are obligated to accept such transfers. These will be made in accordance with the following principles:**

- 1. Determination of the correctly sized apartment shall be in accordance with the Authority's Occupancy Standards.**
- 2. Transfers into the appropriately sized unit will be made within the same neighborhood unless that size unit does not exist on the site.**
- 3. Management may, at its discretion, separate a single household into multiple households if sufficiently large units are not available or if management and the family determine this to be in the interest of both the family and the neighborhood. Based on the selection criteria for new admissions, management shall determine that each smaller family unit is eligible by HUD definition and contains a leaseholder capable of discharging lease obligations.**
- 4. Families with children in school being transferred outside their current neighborhood will not be required to move until the current school year is finished if the Authority determines that a transfer would cause a hardship to the family.**
- 5. If an elderly or disabled person needs to be transferred to a smaller unit, but is unable to do so and has a doctor's statement, stating the serious condition or conditions he may have, he may be exempt from being transferred and may remain in his present unit. with the approval of the housing management.**

**D. Transfers for Non-handicapped families living in handicapped designated units.**

**Section 1(a) of the dwelling lease states what type of unit, as designated by**

**Management, that the resident family is residing in. Section 5(e) of the dwelling lease states: If the unit leased is a handicapped designated unit as checked in Section 1(a) and the tenant family occupying the unit is not a family with handicapped individuals, the tenant agrees to transfer to a non-handicapped unit if and when the unit is needed for a handicapped family.**

**The Authority may from time to time have an excess of handicapped accessible units. In an effort to get the best use of all units the Authority may from time to time rent a handicapped designated unit to a family that has no handicapped members. The Authority will advise the family of the requirements to transfer if and when a handicapped designated family is determined eligible. If the family selected for the unit decides not to accept the unit because of the requirement to move at some date in the future, the refusal shall not count against the family.**

**This section establishes both that the Authority has an obligation to transfer non-handicapped residents residing in handicapped designated units to non-handicapped designated units and that the non-handicapped families are obligated to accept such transfers. These will be made in accordance with the following principles:**

- 1. Transfers into a non-handicapped designated unit will be made within the same neighborhood unless that size unit does not exist on the site.**
- 2. Transfers to a non-handicapped designated unit may be made outside of the same neighborhood with tenant consent or unless no vacancies are expected within the same neighborhood within the next 30 days.**
- 3. Management may, at its discretion, separate a single household into multiple households if sufficiently large units are not available or if management and the family determine this to be in the interest of both the family and the neighborhood. Based on the selection criteria for new admissions, management shall determine that each smaller family unit is eligible by HUD definition and contain a legal leaseholder capable of discharging lease obligations.**
- 4. The non-handicapped family may be provided with relocation assistance such as cartage of household goods, and relocation expenses, the costs and methods of which are to be determined by management.**
- 5. For the purposes of determining the priorities for transfers, this**

**type of transfer shall be considered an Authority initiated transfer.**

## **PRIORITIES FOR TRANSFERS**

**All transfers must be either for approved medical reasons, for relocation to an appropriately sized unit or be initiated by the Authority. No other reasons for transfers will be considered. Within the eligible types, transfers shall be performed according to the following priorities:**

- 1. Authority initiated transfers;**
- 2. Transfers to a single-level apartment for approved medical reasons;**
- 3. Residents who are underhoused by two or more bedrooms;**
- 4. Residents who are overhoused by two or more bedrooms;**
- 5. Residents who are underhoused by one bedroom;**
- 6. Residents who are overhoused by one bedroom; and**
- 7. Persons with extraordinary circumstances as deemed viable through the discretion of the Executive Director or representative of the Housing Authority.**

**The first four priorities always have priority over new move-ins. The remainder shall be mixed with new move-ins in a ratio to be posted each year for each neighborhood after the annual re-examination. This ratio will be calculated by the Executive Director or his/her designee taking into account the vacancy rate and the number of pending transfers for each neighborhood. Within each priority type, transfers will be ranked by date. In transfers requested by residents for approved health reasons or to move to a larger apartment, the date shall be that on which the changed family circumstances are verified by management. In the case of an involuntary transfer, the date will be that on which management verifies that the change occurred. Management reserves the right to immediately transfer any family who has misrepresented family circumstances or composition.**

## **TRANSFER PROCEDURES**

**The PHA staff person in charge of Occupancy or other staff designed by the Executive Director shall:**

- Prepare and prioritize a transfer list for each neighborhood after annual re-examination.
- Update the list for interim re-examinations.
- Supply appropriate PHA staff with a copy of transfer lists and updates.
- Notify residents by letter of their pending transfers.
- Determine whether a vacancy is used for transfer or move-in based on priorities and established ratios and advise the Resident Services Coordinator.
- Coordinate actual transfers with the Resident Services Coordinator
- Maintain transfer logs and records for audit.
- Notify residents with pending transfers as their name approaches the top of the list.
- Counsel with residents experiencing problems with transfers, assisting hardship cases to find assistance.
- Participate in evaluation of requests for transfer based on approved medical reasons.
- Issue final offer of vacant apartment as soon as vacant apartment is identified.
- Issue notice to transfer as soon as vacant apartment is available for occupancy. This notice will give the resident ten (10) working days to complete transfer.
- Process transfer documents to appropriate PHA staff.
- Participate in planning and implementation of special transfer systems for modernization and other similar programs.
- Inspect both apartments involved in the transfer, charging for any resident abuse.

**Only one offer of an apartment will be made to each resident being transferred within his own neighborhood. A resident being transferred outside his own neighborhood will be allowed to refuse one offer only. In the case of a family being transferred from a unit which is uninhabitable, incorrectly sized, or scheduled for major repairs, failure to accept the unit offered, or the second unit offered in the case of a transfer outside the neighborhood, will be grounds for termination of the lease. When a person who has requested a single-level apartment for approved medical reasons declines the offer of such an apartment, the Housing Authority is not obligated to make any subsequent offers. The Authority will notify the resident in such cases that the Authority has discharged its obligations to the resident, that he remains in the apartment at his own risk, and that the Authority assumes no liability for his condition.**

#### **RIGHT OF MANAGEMENT TO MAKE EXCEPTIONS**

**This policy is to be used as a guide to insure fair and impartial means of assigning units for transfer. It is not intended that this policy shall create a property right or any other type of right for a resident to transfer or refuse transfer. Management reserves the right to make exceptions to this policy as circumstances require, consistent with**

**applicable regulations of the Department of Housing and Urban Development.**

#### **4.7 RESIDENT ORIENTATION**

**Eligible applicants selected for admission will be required to participate in an orientation program conducted by the Authority to acquaint new resident families with such items as: the policies, the lease agreement, maintenance procedures, services provided by the Authority, grievance procedures, resident rights, responsibilities, and obligations, and the operation of heating, cooling, and plumbing equipment in the units.**

#### **4.8 INCOME LIMITS**

**The income limits used by this Authority for admission to its sites are established by HUD. No minimum income limits are established. Appendix B sets out the current income limits.**

#### **4.9 TENANT RENT CHARGES**

**Residents of the Authority are to be charged Tenant Rent in accordance with 24 CFR Part 913.**

#### **4.10 OTHER CHARGES**

**The Resident will be charged for special goods and services, and for the cost of all repairs or damages caused by carelessness, misuse, or neglect on the part of the resident or guest. Such charges will be for the actual cost of the materials and labor required.**

#### **4.11 OCCUPANCY STANDARDS**

**To avoid overcrowding and prevent wasted space, units are to be leased in accordance with the occupancy standards set forth below. However, in the event that there are units which cannot be filled with families of appropriate size and type after all possible efforts have been made to stimulate applications, eligible families of the most nearly appropriate size will be housed and will be moved to units of the proper size at the earliest possible date.**

**A. Dwellings shall generally be assigned as follows:**

- 1. Generally two persons per bedroom.**
- 2. Persons of different generations, persons of the opposite sex (other than spouses), and unrelated adults, will have separate bedrooms.**
- 3. Husband and wife will share a bedroom.**
- 4. Children of the same sex will share a bedroom.**
  
- 5. Children, with the possible exception of infants, would not be required to share a bedroom with persons of different generations, including their parents.**
- 6. Persons with verifiable medical needs or other extenuating circumstances may be provided a larger unit.**
- 7. Nonelderly singles may not be assigned to a two bedroom or larger unit.**

NUMBER OF BEDROOMS	NUMBER OF PERSONS	
	MINIMUM	MAXIMUM
0	1	1
1	1	2
2	2	4
3	3	6
4	4	8
5	6	10
6	8	12

**B. In assigning families to public housing units, families will be allowed to occupy units of sufficient size so that persons of opposite sex (other than spouses), persons of different generations, and unrelated adults may have separate bedrooms. Where families are allowed to occupy units of sufficient size to enable persons in these categories to have separate bedrooms, families may be allowed to choose whether to opt for the larger or smaller units at the time of application. Families may be placed on the Waiting List for both the larger and smaller units.**

**\* For example, a household of three persons should not be required to live in a unit with less than two bedrooms but should be permitted to live in a unit with less than two bedrooms if the family so desires (HUD 7465.1, REV-2, Chapter 5). The Authority reserves the right to make a final determination of what constitutes a reasonable accommodation.**

**C. Unit assignments will not be made which result in or perpetuate patterns of occupancy which would be inconsistent with Title VI of the Civil Rights Act of 1964 or the Fair Housing Act.**

**4.12 SPECIAL REEXAMINATION**

**If at the time of admission a family's present condition of employment is too unstable to project the Adjusted Income into the subsequent twelve month period for the purpose of determining Total Tenant Payment, the Authority will schedule a special reexamination. This special reexamination will take place within 30, 60, or 90 days of admission, or at a date by which the Authority estimates that the family's circumstances will be stable. If at the time of such special reexamination it is still not possible to make a reasonable estimate of Adjusted Income, special reexaminations will continue to be scheduled until a reasonable estimate of the Adjusted Income can be made. Rents determined at special reexaminations shall be made effective the first of the second month following the final rent determinations. Until the final rent determination can be made, a family will pay rent based upon the existing Adjusted Income.**

**4.13 TEMPORARY RENTS**

**If it is not possible to obtain all verifications necessary to compute the rent by the admission date, a temporary Total Tenant Payment may be established based on data supplied by the resident family in its Application for Admission. The resident family will be notified by a "Temporary Rent Notice" that payments of Total Tenant Payment, based on this unverified report of anticipated income, are to be made pending establishment of Total Tenant Payment. The notice will make clear that when the final Total Tenant Payment is determined it will be effective from the established "Admission Date" and that the resident family will be charged for any balance due, or credited with any over payments, resulting from payment of the temporary Total Tenant Payment. Appropriate lease changes will be made for each Total Tenant Payment adjustment.**

**4.14 DWELLING LEASE**

**A. The Authority shall utilize a lease that:**

- 1. Does not contain unreasonable terms and conditions;**

2. **Obligates the Authority to maintain the project in a decent, safe, and sanitary condition;**
3. **Requires the Authority to give adequate written notice of termination of the lease which shall not be less than:**
  - a. **A reasonable time, in proportion to the danger of the situation in the case of Tenant creating or maintaining a threat to the health or safety of other tenants or Authority employee;**
  - b. **Fourteen days in the case of nonpayment of rent; and**
  - c. **Thirty days in any other case; and**
4. **Requires that the Authority may not terminate the tenancy except for serious or repeated violation of the terms or conditions of the lease or for other good cause.**

**B. Each lease shall specify the unit to be occupied, the date of admission, the size of the unit to be occupied, all family members who will live in the unit, the Total Tenant Payment security deposit to be charged, the utility allowances, other charges under the lease, and the terms of occupancy. The lease shall be explained in detail to the applicant family before its execution. The lease shall be kept current at all times. Each adult member of the family accepted as a resident is required to execute the lease agreement prior to actual admission. One copy of the lease will be given to the family, and the original will be filed as part of the permanent records established for the family.**

**C. If a resident family transfers to a different unit, the existing lease will be canceled. A new lease will be executed by each adult member of the family for the unit into which the family is to move.**

**D. If any other change in a resident family's status results in the need to change or amend any provision of the lease, or if the Authority desires to waive a lease provision with respect to a resident family, (1) the existing lease is to be canceled and a new lease executed, or (2) an appropriate rider is to be prepared and executed by appropriate family members and Authority and made a part of the existing lease.**

**E. Cancellation of a family's lease will be in accordance with the provisions of the lease.**

**F. The current Grievance Procedure is incorporated into the lease by reference. Resident families are entitled to utilize provisions of the Authority's Grievance Procedure to attempt settlement of disputes with the Authority.**

#### 4.15 MISREPRESENTATIONS ON APPLICATION FOR ADMISSION

If misrepresentations on Application for Admission result in housing an ineligible or unsuitable family, the family may be required to vacate even though currently eligible.

If misrepresentations or failure to provide facts have resulted in payment of a lower Total Tenant Payment than should have been paid, the family will be required to pay the difference between the Total Tenant Payment paid and the amount which should have been paid. In justifiable cases, the Authority may take such other action as deemed reasonable.

#### FRAUD

Fraud is defined as:

"Any person who obtains or attempts to obtain or who establishes or attempts to establish eligibility for, and any person who knowingly or intentionally aids or abets such person in obtaining or attempting to obtain or in establishing or attempting to establish eligibility for any public housing or a reduction in public housing rental charges or any rent subsidy or payment from a tenant in connection with public housing to which such person would not otherwise be entitled, by means of a false statement, failure to disclose information, impersonation, or other fraudulent scheme or device shall be guilty of a misdemeanor."

All Applications for Occupancy and Applications for Continued Occupancy for lower income Public Housing used by the Authority will contain a warning that falsification is against the law. Poster notices will also be displayed in the Central Eligibility Office of the Authority. All such notices will describe the maximum penalty for a misdemeanor in the State, including jail sentence and/or fine. In addition, the warning will be read and explained to housing applicants and tenants undergoing annual, special and interim re-examinations.

The Authority considers the misrepresentation of income and family circumstances to be a serious lease and policy violation as well as a crime and will take appropriate action if apparent fraud is discovered. Specifically:

1. An applicant family who has misrepresented income, family circumstances, citizenship, or eligible immigration status may be declared ineligible for housing assistance.
2. If any examination of the tenant's file discloses that the tenant made any misrepresentation (at the time of admission or any previous re-examination date) which resulted in his/her being classified as eligible when in fact he/she was ineligible, the tenant may be required to vacate the apartment even though he/she may be currently eligible.

**3. A tenant family who has made misrepresentation of income, family circumstances, citizenship, or eligible immigration status is subject to both termination and being declared ineligible for future housing assistance.**

**4. If it is found that the tenant's misrepresentations resulted in his/her paying a lower Tenant Rent than he/she should have paid, he/she will be required to pay the difference between rent owed and the amount that should have been paid. This amount shall be paid whether or not the tenant remains in occupancy, but failure to pay under terms established by the Authority shall always result in immediate termination of the lease. The Authority reserves the right to demand full payment within seven days.**

**5. The Authority shall report apparent cases of tenant or applicant fraud to the appropriate government agency. It shall be the policy of the Authority to press state and Federal authorities for prosecution of cases which, in the Authority's judgment, appear to constitute willful and deliberate misrepresentation.**

## **5.0 CONTINUED OCCUPANCY**

**For continued assistance, each family member, regardless of age, must submit evidence of citizenship or eligible immigration status as given in 24 CFR § 912.5.**

### **5.1 REEXAMINATION OF FAMILY INCOME AND COMPOSITION**

**A. Regular reexaminations. The Authority shall reexamine the income and composition of all resident families at least once every twelve months and determine whether the family's unit size is still appropriate. After consultation with the family and upon verification of the information, the Authority shall make appropriate adjustments in Tenant Rent and Total Tenant Payment in accordance with § 2.30 and § 2.31. If it is not possible to obtain all verifications necessary to complete a reexamination by the anniversary date, a temporary rent will be established based on data supplied by the family. The family will be notified that payments based on this unverified report of anticipated income are to be made pending establishment of final rent. The notice will make clear that when the final rent is determined it will be effective from the reexamination anniversary date, and that the family will be charged for any balance due, or credited with any overpayment. Appropriate lease changes will be made for each adjustment.**

**B. Special Reexaminations.** If at the time of annual reexamination a family's present condition of employment is too unstable to project the Adjusted Income for the upcoming twelve month period for the purpose of determining Total Tenant Payment, special reexaminations will be scheduled on a 30-day basis. These specific reexaminations will take place until the family's circumstances have stabilized.

**C. Interim Reexaminations.** The family must comply with provisions in its lease regarding interim reporting of changes in income. If the Authority receives information concerning a change in the family's income or other circumstances between regularly scheduled reexaminations, the Authority must consult with the family and make any adjustments determined to be appropriate. Any change in the family's income or other circumstances that result in adjustment in Tenant Rent or Total Tenant Payment must be verified.

5.2 | **RESERVED**

5.3 | **MISREPRESENTATION AT ANNUAL REEXAMINATION**

If the reexamination discloses that the family at time of admission, or at any previous reexamination, made misrepresentations that resulted in the family's being classified as eligible when, in fact, ineligible, the family may be required to vacate even though currently eligible. Furthermore, if at the time of reexamination it is found that the misrepresentations or failure to provide facts resulted in a lower rent being charged, the family will be required to pay the difference between the rent paid and the amount that should have been paid. In justifiable cases, this Authority may take such other action as deemed reasonable. If the Authority is unable to complete the annual reexamination because of the fault of the family, the effective date of any change will be the reexamination anniversary date.

If, by no fault of the family, the Authority is unable to complete its annual reexamination, the effective date of any increase in Total Tenant Payment will be the first of the second month following completion of the reexamination; the effective date

of any decrease in Total Tenant Payment will remain the reexamination anniversary date, and the Family will be given the appropriate Total Tenant Payment credits for overpayment.

## 5.4 COLLECTIONS

### A. Resident Rent Charges

Rent is due and payable in advance without notice at the office of the Authority on the first day of each month. The Authority shall impose a late charge of \$5.00 plus \$1.00 per day if rent payment is not received by the fifth day of the month. Consideration will be given to approving deferred payment of rent in cases of documented medical emergencies only. If the tenant fails to make payment by the sixth day of the month and the Authority has not approved deferred payment, the Authority shall give the Tenant fourteen (14) days notice in writing that the Lease has been terminated upon failure to pay rent and the Tenant will be required to move.

If there is good reason for an extension of time to pay the delinquent rent, the Authority may enter into an agreement with the resident. Such agreement will be in writing, signed by both parties, and require the resident to make future rent payments in full. The agreement will specify the due dates and dollar amounts of periodic payments to be made toward settlement of the past due balance.

Failure to reach an agreement, or failure of the resident to abide by the terms of the agreement, will result in a 14 day notice of lease cancellation to the resident in writing. If the resident contacts the Authority within the 14 day notice period and pays the past due balance in full, the notice of lease cancellation will be rescinded in writing. If the resident does not contact the Authority during the 14 day notice period and does not pay the past due balance in full, the Authority may file for eviction. Once the eviction has been filed, no payments on past due or current rent will be accepted from the resident until the case is settled. All terminations shall be processed in accordance with the requirements of the lease, State law, and Federal regulations.

### B. Other Charges

Charges other than rent, such as excess utility usage and resident caused damages, shall not become due and collectable until the first day of the second month following the month during which the charge is incurred. If not paid by the sixth day of the month, a 10 day notice is sent. If no response, a 30 day

notice of lease termination is mailed or delivered.

**C. Demand Notices**

Immediately after the expiration of the lease termination notice, management will issue a demand notice. No payments will be accepted after the demand notice is issued, except from tenants who have an approved request for late payment or complete a rent counseling, provided the rent counseling is completed prior to the issuance of a dispossessory warrant.

**D. Vacated Tenants With Balances**

Vacated tenants will have seven (7) days from the date of the statement of Refund of Security Deposit and Unearned Rent to pay the account or make arrangements for payment. Accounts will be reported to the Credit Bureau and collection action will be taken after the expiration of this time period.

5.5 | **INSPECTIONS**

**A. The dwelling unit and premises shall be inspected jointly by the applicant or resident and Authority staff. Both parties will agree on the condition of the unit by signing an inspection checksheet. The original checksheet will be kept by the Authority, and a copy will be given to the resident.**

**B. The inspection will serve as a guide in the determination of needed maintenance or repairs and to assess damage over and above normal wear and tear. Failure to maintain a safe, decent, and sanitary dwelling unit and premises may result in lease termination.**

**C. Inspections shall be made:**

**1. At move-in prior to occupancy;**

**2. Periodically, every three months (but not less than annually). Follow up inspections will be scheduled within seven days if housekeeping practices or other circumstances require. Appropriate notice to the resident shall be given prior to any inspection which shall be in accordance with the lease; and**

**3. At move out. Inspection should be done with resident, unless the resident has previously vacated the unit and is unavailable. In the latter case, the Authority staff will conduct an independent inspection.**

## **6.0 SECURITY DEPOSITS**

**Each family is required to pay a security deposit in an amount determined by the Authority. Payments must be made prior to occupancy, unless arrangements are made otherwise. The security deposit will be returned to the resident within 30 days after move out if the following conditions are met:**

- A. There is no unpaid rent and charges for which the resident is liable under the lease or as a result of breaching the lease;**
- B. The unit and all equipment are left clear, and all trash and debris have been removed by the family;**
- C. There is no breakage or damage beyond that expected from normal wear and tear; and**
- D. All keys issued to the family are turned in to the Authority office when the family vacates the unit.**

**The security deposit may not be used to pay charges during occupancy. The amount of security deposit required is **\$100.00**.**

## **7.0 COMPLAINTS OF DISCRIMINATION**

**A Fair Housing and Equal Opportunity poster containing information on filing complaints with HUD by those persons believing themselves to be subjects of discrimination will be posted conspicuously in project office(s) for public information and inspection.**

## **8.0 LEASE TERMINATION**

**The PHA may terminate tenancy for a family because of the family's action or failure to act in accordance with HUD regulations [24 CFR 966.4 (1)(2)], and the terms of the lease. This Chapter describes the PHA's policies for notification of lease termination and provisions of the lease.**

**A. TERMINATION BY TENANT**

**The tenant may terminate the lease by providing the PHA with a written 14 day advance notice as defined in the lease agreement.**

**B. TERMINATION BY PHA**

**Termination of tenancy will be in accordance with the PHA's lease.**

**The lease may be terminated by the PHA at any time by giving written notice for serious or repeated violation of material terms of the lease, such as, but not limited to the following:**

**Nonpayment of rent or other charges due under the Lease, or repeated chronic late payment of rent;**

**Failure to provide timely and accurate statements of income, assets, expenses and family composition at Admission, Interim, Special or Annual Rent Recertifications;**

**Assignment or subleasing of the premises or providing accomodation for boarders or lodgers;**

**Use of the premises for purposes other than solely as a dwelling unit for the Tenant and Tenant's household as identified in this Lease, or permitting its use for any other purposes;**

**Failure to abide by necessary and reasonable rules made by the PHA for the benefit and well being of the housing project and the Tenants;**

**Failure to abide by applicable building and housing codes materially affecting health or safety;**

**Failure to dispose of garbage waste and rubbish in a safe and sanitary manner;**

**Failure to use electrical, plumbing, sanitary, heating, ventilating, air conditioning and other equipment, in a safe manner;**

**Acts of destruction, defacement or removal of any part of the premises, or failure to cause guests to refrain from such acts;**

**Failure to pay reasonable charges (other than for normal wear and tear) for the repair of damages to the premises, project buildings, facilities, equipment, or common areas;  
or**

**The Tenant, any member of the Tenant's household, or a guest or other person under the Tenant's control shall not engage in criminal activity, including drug-related criminal activity, on or off public housing premises (as defined in the lease), while the Tenant is a Tenant in public housing, and such criminal activity shall be cause for termination of tenancy. The term "drug-related criminal activity" means the illegal manufacture, sell, distribute, or use, a controlled substance (as defined in section 102 of the Controlled Substances Act (21 U.S.C.802)).**

**If contraband or a controlled substance is seized on the above premises, incidental to a lawful search or arrest, the PHA will be notified by the County Attorney's Office that it is to bring an unlawful detainer action against that Tenant. The PHA will then commence unlawful detainer procedures to terminate the Lease.**

**Alcohol abuse that the PHA determines interferes with the health, safety, or right to peaceful enjoyment of the premises by other residents.**

**Non-compliance with Non-Citizen Rule requirements.**

**Other good cause.**

### **C. NOTIFICATION REQUIREMENTS**

**The PHA's written Notice of Lease Termination will state the reason for the proposed termination, the date that the termination will take place, and it will offer the resident all of the rights and protections afforded by the regulations and this policy. (See Chapter on Complaints, Grievances and Hearings.)**

**Notices of lease termination shall be in writing and delivered to tenant or adult member of the household or sent by first class mail properly addressed to tenant return receipt requested.**

**The return of the certified mail receipt, whether signed or unsigned, shall be considered to be proof that the resident received proper notification.**

#### **Timing of the Notice**

**If the PHA terminates the lease, written notice will be given as follows:**

**At least 14 calendar days prior to termination in the case of failure to pay rent;**

**A reasonable time, defined in the lease, considering the seriousness of the situation when the health or safety of other residents or PHA employees is threatened;**

**At least thirty days prior to termination in all other cases.**

**The PHA shall notify the Post Office that mail should no longer be delivered to the person who was evicted for criminal activity, including drug-related criminal activity.**

### **Criminal Activity**

**The PHA will immediately and permanently terminate tenancy of persons convicted of manufacturing or producing methamphetamine on the premises of the assisted housing project in violation of any Federal or State law "premises" is defined as the building or complex in which the dwelling unit is located, including common areas and grounds.**

**The PHA will terminate assistance of participants in cases where the PHA determines there is reasonable cause to believe that the person is illegally using a controlled substance or engages in drug-related or other criminal activity. The same will apply if it is determined that the person abuses alcohol in a way that interferes with the health, safety or right to peaceful enjoyment of the premises by other residents. This includes cases where the PHA determines that there is a pattern of illegal use of controlled substances or a pattern of alcohol abuse.**

**The PHA will consider the use of a controlled substance or alcohol to be a pattern if there is more than one incident during the previous 12 months.**

**"Engaged in or engaging in or recent history of "drug related criminal activity means any act within the past 3 years by applicants or participants, household members, or guests which involved drug-related criminal activity including, without limitation, drug-related criminal activity, possession and/or use of narcotic paraphernalia, which did or did not result in the arrest and/or conviction of the applicant or participant, household members, or guests.**

**"Engaged in or engaging in or recent history of" criminal activity means any act within the past 3 years by applicants or participants, household members, or guests which involved criminal activity that would threaten the health, safety or right to peaceful enjoyment of the public housing premises by other residents or employees of the PHA, which did or did not result in the arrest and/or conviction of the applicant or participant, household members, or guests.**

**The PHA will not waive this policy.**

### **D. RECORD KEEPING**

**A written record of every termination and/or eviction shall be maintained by the PHA at the Authority's office and shall contain the following information:**

**Name of resident, number and identification of unit occupied;**

**Date of the Notice of Lease Termination and any other notices required by State or local law; these notices may be on the same form and will run concurrently;**

**Specific reason(s) for the Notices, citing the lease section or provision that was violated, and other facts pertinent to the issuing of the Notices described in detail (other than the Criminal History Report);**

**Date and method of notifying the resident;**

**Summaries of any conferences held with the resident including dates, names of conference participants, and conclusions.**

**Records for persons whose leases were terminated for any reason will be kept by the PHA indefinitely.**

**E. TERMINATIONS DUE TO INELIGIBLE IMMIGRATION STATUS  
[24CFR 5.514]**

**Families who were participants on June 19, 1995, but are ineligible for continued assistance due to the ineligible immigration status of all members of the family, or because a "mixed" family chooses not to accept proration of assistance, were eligible for temporary deferral of termination of assistance to permit the family additional time for transition to affordable housing.**

**Deferrals may have been granted for intervals not to exceed six months, up to an aggregate maximum of three years for deferrals granted prior to 11/29/96.**

**However, due to the timeframe applicable to the deferral period, current families are no longer eligible for deferral of termination of assistance.**

**If the PHA determines that a family member has knowingly permitted an ineligible individual to reside in the family's unit on a permanent basis, the family's assistance will be terminated for 24 months. This provision does not apply to a family if the eligibility of the ineligible individual was considered in calculating any proration of assistance provided for the family.**

**9.0 PET POLICY**

**A copy of the Housing Authority's Pet Policy is available at the main office.**

**10.0 | CONFLICT WITH FEDERAL STATUTE, REGULATION, OR HUD  
POLICY**

**This Policy is to be interpreted in accordance with Federal statutes and regulations and in compliance with HUD policy, and any conflict between this policy and Federal statutes, regulations, or HUD Handbook provisions, will be resolved in favor of Federal law and policy.**

# CIAP Budget/Progress Report

## Part I: Summary

### Comprehensive Improvement Assistance Program (CIAP)

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

OMB Approval No. 2577-0044 (exp. 1/31/96)

Public Reporting Burden for this collection of information is estimated to average 12.0 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Office of Information Policies and Systems, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600 and to the Office of Management and Budget, Paperwork Reduction Project (2577-0044), Washington, D.C. 20503. Do not send this completed form to either of these addressees.

HA Name <b>HOT SPRINGS HOUSING AUTHORITY</b>	Modernization Project Number <b>NC19P045904</b>	FFY of Grant Approval <b>2000</b>
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Original CIAP Budget    
  Revised CIAP Budget/Revision Number \_\_\_\_\_    
  Progress Report for Period Ending \_\_\_\_\_    
  Final Progress Report

Line No.	Summary by Development Account	Total Funds Approved		Total Funds	
		Original	Revised	Obligated	Expended
1	Total Non-CIAP Funds				
2	1408 Management Improvements				
3	1410 Administration	\$2,000			
4	1415 Liquidated Damages				
5	1430 Fees and Costs	\$10,263			
6	1440 Site Acquisition				
7	1450 Site Improvement				
8	1460 Dwelling Structures	\$90,363			
9	1465.1 Dwelling Equipment - Nonexpendable				
10	1470 Nondwelling Structures				
11	1475 Nondwelling Equipment				
12	1495.1 Relocation Cost				
13	Amount of CIAP Grant (Sum of lines 2-12)	\$102,626			
14	Amount of line 13 Related to LBP Testing	0			
15	Amount of line 13 Related to LBP Abatement	0			
16	Amount of line 13 Related to Section 504 Compliance	0			

Signature of Executive Director and Date

-

HUD Certification: In approving this budget and providing assistance to a specific housing development(s), I hereby certify that the assistance will not be more than is necessary to make the assisted activity feasible after taking into account assistance from other government sources (24 CFR 12.50).

Signature of Field Office Manager (or Regional Public Housing Director in co-located office)/OIP Director and Date

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**Comprehensive Improvement Assistance Program (CIAP)**

Development Number	Description of Work Items	Development Account Number	Funds Approved			Funds Obligated	Funds Expended
			Original	Revised	Difference		
NC45-1 and NC45-2	Replace base board heaters with central furnaces. (15 units x \$2800) (contract)	1460	\$42,000				
	Upgrade interior electrical service to meet Code. Upgrade panels to 125 AMP to accommodate furnaces and needs of unit. (15 units x \$2500) (contract)	1460	\$37,500				
	Complete the balance of the window and roofing replacement (lump sum) (contract)	1460	\$10,863				
	<b>SUBTOTAL SITEWORK, DWELLING STRUCTURES</b>		<b>\$90,363</b>				
PHA-Wide	Housing Authority will hire an Architect to prepare plans and specifications for bidding purposes, assist at bid openings, inspect the contract work, approve requests for payment, and prepare close-out documentation.	1430	\$10,263				
	Administrative costs associated with implementing this modernization.	1410	\$2,000				
	<b>SUBTOTAL PHA WIDE</b>		<b>\$12,263</b>				
	<b>GRAND TOTAL FOR ALL ACCOUNTS</b>		<b>\$102,626</b>				

**Comprehensive Improvement Assistance Program (CIAP)**

Development Number	Description of Work Items	Development Account Number	Funds Approved			Funds Obligated	Funds Expended
			Original	Revised	Difference		

Page 2 of 3 ref Handbook 7485.1

Development Number	First Architect/Engineer Contract Awarded			All Funds Obligated			All Funds Expended		
	Original	Revised (Attach explanation)	Actual	Original	Revised (Attach explanation)	Actual	Original	Revised (Attach explanation)	Actual
NC45-1	12/31/00			03/31/02			03/31/03		
NC45-2	12/31/00			03/31/02			03/31/03		



# Five-Year Action Plan

## Part I: Summary

### Comprehensive Grant Program (CGP)

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

OMB Approval No. 2577-0157 (Exp. 7/31/95)

HA NAME: <b>HOT SPRINGS HOUSING AUTHORITY</b>	Locality: (City/County & State) <b>HOT SPRINGS/MADISON/NORTH CAROLINA</b>	<input checked="" type="checkbox"/> <b>Original</b>	<input type="checkbox"/> Revision No. _____
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A. Development Number/Name	Work Statement for Year 1 FFY: <u>2000</u>	Work Statement for Year 2 FFY: <u>2001</u>	Work Statement for Year 3 FFY: <u>2002</u>	Work Statement for Year 4 FFY: <u>2003</u>	Work Statement for Year 5 FFY: <u>2004</u>
NC 45-1 - SCATTERED SITES	See Annual Statement	87,363	87,363	87,363	87,363
<b>B. Physical Improvements Subtotal</b>		87,363	87,363	87,363	87,363
<b>C. Management Improvements</b>		3,000	3,000	3,000	3,000
<b>D. HA-Wide Nondwelling Structures and Equipment</b>		0	0	0	0
<b>E. Administration</b>		2,000	2,000	2,000	2,000
<b>F. Other</b>		10,263	10,263	10,263	10,263
<b>G. Replacement Reserve</b>		0	0	0	0
<b>H. Total CGP Funds</b>		102,626	102,626	102,626	102,626
<b>I. Total Non-CGP Funds</b>		0	0	0	0
<b>J. Grand Total</b>		102,626	102,626	102,626	102,626

Signature of Executive Director:	Date:	Signature of Public Housing Director/Office of Native American Programs Administrator	Date:
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Physical Needs Work Statement(s)  
Comprehensive Grant Program (CGP)

Office of Public and Indian Housing

Work Statement for Year 1 FFY: <u>2000</u>	Work Statement for Year <u>2</u> FFY: <u>2001</u>			Work Statement for Year <u>3</u> FFY: <u>2002</u>		
	Development Number/Name/General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name/General Description of Major Work Categories	Quantity	Estimated Cost
See Annual Statement	<u>NC 45-1 - SCATTERED SITES</u>			<u>NC 45-1 - SCATTERED SITES</u>		
	Interior Electrical	20	44,000	HVAC Upgrades	3	7,500
	HVAC Upgrades	17	43,363	Dryer Connections	20	10,000
				Bathrooms	10	20,000
				Kitchens	10	35,000
				Floors	10	10,500
				Water Heaters	10	4,363
	SUBTOTAL NC 45-1 SCATTERED SITES		87,363	SUBTOTAL NC 45-1 SCATTERED SITES		87,363
	Subtotal of Estimated Cost		87,363	Subtotal of Estimated Cost		87,363

Work Statement for Year 1 FFY: 2000	Work Statement for Year <u>2</u> FFY: <u>2003</u>			Work Statement for Year <u>3</u> FFY: <u>2004</u>		
	Development Number/Name/General Description of Major Work Categories	Quantity	Estimated Cost	Development Number/Name/General Description of Major Work Categories	Quantity	Estimated Cost
See Annual Statement	<u>NC 45-1 - SCATTERED SITES</u>			<u>NC 45-2 - FRENCH BROAD CIRCLE</u>		
	Bathrooms	10	20,000	Roofing	30	52,500
	Kitchens	10	35,000	HVAC	13	34,863
	Floors	10	10,500			
	Water Heaters	10	4,363			
	SUBTOTAL NC 45-1 SCATTERED SITES		69,863			
	<u>NC 45-2- FRENCH BROAD CIRCLE</u>					
	Roofing	10	17,500			
	SUBTOTAL NC 45-2 FRENCH BROAD CIRCLE		17,500	SUBTOTAL NC 45-2 FRENCH BROAD CIRCLE		87,363
	Subtotal of Estimated Cost			87,363	Subtotal of Estimated Cost	

**Five-Year Action Plan**  
Part III: Supporting Pages  
Management Needs Work Statement(s)  
Comprehensive Grant Program (CGP)

U.S. Department of Housing  
and Urban Development  
Office of Public and Indian Housing

OMB Approval No. 2577-0157 (Exp. 7/31/95)

Work Statement	Work Statement for Year <u>2</u>	Work Statement for Year <u>3</u>
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for Year 1 FFY: <u>2000</u>	FFY: <u>2001</u>			FFY: <u>2002</u>		
	General Description of Major Work Categories	Quantity	Estimated Cost	General Description of Major Work Categories	Quantity	Estimated Cost
See Annual Statement	Office Equipment	LS	3,000	Office Equipment	LS	3,000
	SUBTOTAL MANAGEMENT NEEDS		3,000	SUBTOTAL MANAGEMENT NEEDS		3,000
	OTHER			OTHER		
	Administration		2,000	Administration		2,000
	Fees & Costs		10,263	Fees & Costs		10,263
	SUBTOTAL OTHER		12,263	SUBTOTAL OTHER		12,263
Subtotal of Estimated Cost			15,263	Subtotal of Estimated Cost		
Subtotal of Estimated Cost			15,263	Subtotal of Estimated Cost		

**Five-Year Action Plan**  
Part III: Supporting Pages  
Management Needs Work Statement(s)  
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Work  
Statement  
for Year 1  
FFY: 2000

Work Statement for Year 4  
FFY: 2003

Work Statement for Year 5  
FFY: 2004

	General Description of Major Work Categories	Quantity	Estimated Cost	General Description of Major Work Categories	Quantity	Estimated Cost	
See Annual Statement	Office Equipment	LS	3,000	Office Equipment	LS	3,000	
	SUBTOTAL MANAGEMENT NEEDS		3,000	SUBTOTAL MANAGEMENT NEEDS		3,000	
	OTHER			OTHER			
	Administration		2,000	Administration		2,000	
	Fees & Costs		10,263	Fees & Costs		10,263	
	SUBTOTAL OTHER		12,263	SUBTOTAL OTHER		12,263	
	Subtotal of Estimated Cost			15,263	Subtotal of Estimated Cost		
	Subtotal of Estimated Cost			15,263	Subtotal of Estimated Cost		
	Subtotal of Estimated Cost			15,263	Subtotal of Estimated Cost		
	Subtotal of Estimated Cost			15,263	Subtotal of Estimated Cost		